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Pacific Ridge School Employee Policy and Procedures Manual

Pacific Ridge School

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**PACIFIC RIDGE
EMPLOYEE POLICY AND PROCEDURES MANUAL
DRAFT 12/17/2006**

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INTRODUCTION

Welcome Message

Greetings and welcome to Pacific Ridge School. Your decision to join the Pacific Ridge Community is significant in many ways. Not only will you be a founding member of the School, but you will bring your talents, skills and perspectives that will help us build an academically strong, ethical community. Whether you are interacting with students in the classroom, greeting visitors in our reception area, managing financial issues, or keeping the campus clean and safe, you are important to our organization and are part of the Pacific Ridge team.

Pacific Ridge School, by nature of its distinct mission and core values, has a selective hiring process for all of its employees. We are grateful to have you as a member of the community and look forward to working together to build one of California's leading independent schools.

About Pacific Ridge

Pacific Ridge was founded in Carlsbad, CA to fulfill coastal North County's need for excellence in secondary and college-preparatory education.

Great communities need great educational resources for their young people. With Pacific Ridge School's opening in the fall of 2007, its founders intend to enrich the educational opportunities in San Diego's North County, offering the community an educational mission that focuses on mind and heart, that combines academic excellence with ethics, and that links civic responsibility to global awareness.

In the fall of 2002, after years of talking and listening to others lament the limited options for excellent college preparatory secondary education in Coastal North County San Diego, two pioneering families, the Bechtler-Levins and the Merrifields, began thinking seriously about the prospect for an exemplary middle and high school in the area. They were joined in the summer and fall of 2003 by other founding families, the Gietzens, the Hoffmans, the Nassifs, the Perrys, and the Pooles. Soon after, these families were joined by other board members, including the Breitmeyers, the Ruhs, the Sandersons, and the Wolfs.

The trustees of Pacific Ridge School share educational experiences that were foundational, diverse career choices that deepened their desire to give back, and overseas experiences that were transformative. They wanted to create for their children and for the community a dynamic school environment with powerful teacher-student relationships, an integrated program, and a sense of ethical values necessary to becoming global citizens. "There is a hunger for a new kind of school—one which combines the best of traditional education and innovations about how students learn - where students are challenged academically while cultivating their own sense of balance and purpose," said founding board chair Scott Bechtler-Levin.

Early on the founding families consulted Jacqueline Smethhurst, an educational expert with extensive experience in advising independent school start-ups in California. Her advice was strategic and energizing. Soon Janie Anderson, who had just the right experience in successful development campaigns and a broad knowledge of the local philanthropic community, helped generate a well-spring of interest among other families in the area that produced almost 2.8 million dollars in commitments to the project. Volunteers from all over the county came together to lend their time, expertise, and support.

The founders crafted a very simple yet powerful mission statement—"In a community that fosters academic excellence, ethical responsibility and global engagement, Pacific Ridge School prepares students for college and a purposeful life."

When the search began for a Head of School in 2004, the mission statement and the passion of those involved with Pacific Ridge School generated national interest. Dr. Eileen Mullady, an educator with an impressive background in both secondary and higher education, was lured West by the excitement of founding a new school along the contours planned for Pacific Ridge School. She was particularly drawn by the last phrase of the mission statement—"a purposeful life"—because education is not just about the years leading to and including college; rather, education

makes an entire life.

The board of Pacific Ridge School was delighted that Eileen Mullady accepted the offer to head Pacific Ridge School. Her outstanding credentials, her personal warmth and wit, and her engaging connections to children of all ages made the board's choice unanimous.

Eileen Mullady took up her position as Head of School in the summer of 2005, hired a core staff, and worked with veteran teachers from across the country to design a curriculum that would bring to life the ideals of the mission so carefully crafted by the Board of Trustees. In October 2006 Pacific Ridge School will kick off the admissions season for its 2007 founding class of seventh and ninth graders.

One of the ethical questions which that class will address inside and outside of the classroom will be "What does it mean to be a founder?" "What are my responsibilities and opportunities?" In this way, the founding of Pacific Ridge School will be passed on from trustees to Head of School, to faculty, to parents, and to students.

Mission Statement

In a community that fosters academic excellence, ethical responsibility and global engagement, Pacific Ridge School prepares students for college and a purposeful life.

Purpose of the Policy Manual

The purpose of the Pacific Ridge policy and procedures manual is to acclimate all employees to Pacific Ridge and to ensure that all employees have a thorough understanding of their roles and responsibilities to the school as well as the benefits they will receive through their employment. We encourage you to use this manual as a guide to a happy and successful career at Pacific Ridge.

The core values of Pacific Ridge include academic excellence, global citizenship and ethical responsibility. As the adult community, it is essential that we model these principles for our students. In addition, as faculty, staff and administration, we want to be able to work together to form a collegial and supportive community so that we can best serve the students of the school with integrity and equity.

This manual summarizes the policies and practices in effect at the time of publication. The formal language used in this manual is meant to ensure clarity and to capture all of the policies and procedures in a concise yet thorough manner; it is not meant to seem unfriendly or harsh in any way. The law requires that we include many of these topics and explanations for policies and procedures. If you have any questions about the information in this manual, please contact your supervisor.¹

THE PACIFIC RIDGE COMMUNITY

Board of Trustees

The Board of Trustees is a group of dedicated and informed community leaders who are passionate about the value of education and committed to this project. Members of the Board have demonstrated personal success in a multitude of endeavors.

Edward J. (Duff) Sanderson, Jr. - (Chair)
Executive Vice President,
Oracle Consulting and the Latin America Division

¹ San Francisco University High School Policies and Procedures Manual, Revised August 15, 2006, p 10. We particularly liked the message that this paragraph sends employees about the nature of the manual and helps to explain the formal tone.

Rick Sap
*Retired Managing Director,
Goldman Sachs Group, Inc.*

Lisa Ruh - (Secretary)
Community Volunteer

Scott Bechtler-Levin
*Vice President of Marketing
BidShift*

Jean Nassif
Audiologist

Christopher P. Nero
*Chief Executive Officer,
HedgeWorks*

Karilyn M. Perry
*Vice President of Sales and Marketing,
Pyxis*

Shawn R. Poole,
Community Volunteer

Alan Schulman,
*Attorney,
Bernstein Litowitz Berger & Grossmann LLP*

Joanne Wolf
*Clinical Psychologist
Community Volunteer*

Administration and Staff

Dr. Eileen Mullady
Head of School
*B.A., M.A. University of Chicago
Ph.D. Columbia University*

Phil Hitch
Director of Finance
B.A., M.B.A. Harvard University

Bonnie Laughlin
Associate Director of Admissions

Darren Lawlor
Director of Athletics
B.A. Syracuse College, M.B.A. University of Massachusetts, Amherst

Bob Ogle

Associate Director of Admissions

B.A. UC Davis

M.A., M.Ed., Teacher's College

Toni Tschann

Director of Development

B.A. Mount Holyoke College

M.A. College of Saint Catherine

Nichole Ward

Administrative Assistant

B.A. University of Massachusetts

Faculty

HIRING PRACTICES

At-will Employment

All employment at Pacific Ridge School is on an at-will basis. That means that either the employee or the School may terminate employment at-will with or without cause and with or without notice at any time. Nothing in this handbook shall limit the right to terminate at-will employment. No manager, supervisor, or employee of the School has any authority to enter into an agreement for employment for any specified period of time or to make an agreement for employment on other than at-will terms. Only the Head of School has the authority to make any such agreement, which is binding only if it is in writing and signed by both the employee and the Head of School.²

Equal Opportunity Employer & American Disabilities Act

Pacific Ridge School is an equal opportunity employer and makes employment decisions on the basis of merit. We want to have the best available persons in every job. School policy prohibits unlawful discrimination based on race, color, creed, gender, religion, marital status, registered domestic partner status, age, national origin or ancestry, physical or mental disability, medical condition including genetic characteristics, sexual orientation, or any other consideration made unlawful by federal, state, or local laws. The School also prohibits discrimination based on a perception that anyone has any of those characteristics, or is associated with a person who has or is perceived as having any of those characteristics. **All such discrimination is unlawful.**

The School is committed to compliance with all applicable laws providing equal employment opportunities. This commitment applies to **all** persons involved in the operations of the School and prohibits unlawful discrimination by any employee of the School, including supervisors and coworkers.

To comply with applicable laws ensuring equal employment opportunities to qualified individuals with a disability, the School will make reasonable accommodations for the known physical or mental limitations of an otherwise qualified individual with a disability who is an applicant or an employee unless undue hardship would result.

Any applicant or employee who requires an accommodation in order to perform the essential functions of the job should contact Human Resources in writing and request such an accommodation. The individual with the disability should specify what accommodation he or she needs to perform the job. The School will then conduct an investigation to identify the barriers that interfere with the equal opportunity of the applicant or employee to perform

² San Francisco University High School, page 10. Required legal terminology.

his or her job. The School will identify possible accommodations, if any, that will help eliminate the limitation. If the accommodation is reasonable and will not impose an undue hardship, the School will make the accommodation.

If you believe you have been subjected to any form of unlawful discrimination, submit a written complaint to your supervisor or Human Resources. Your complaint should be specific and should include the names of the individuals involved and the names of any witnesses. If you need assistance with your complaint, or if you prefer to make a complaint in person, contact Human Resources. The School will immediately undertake an effective, thorough, and objective investigation and attempt to resolve the situation.

If the School determines that unlawful discrimination has occurred, effective remedial action will be taken commensurate with the severity of the offense. Appropriate action also will be taken to deter any future discrimination. The School will not retaliate against you for filing a complaint and will not knowingly permit retaliation by management employees or your co-workers.³

Classifications⁴

Regular Employees

Regular employees are those who are hired to work on a regular schedule. Regular employees may be classified as full-time or part-time, exempt or non-exempt, faculty or non-faculty.

Temporary Employees

Temporary employees are those employed for short-term assignments. Short-term assignments generally are periods of three months or fewer; however, such assignments may be extended. Temporary employees are not eligible for employee benefits except those mandated by applicable law.

Faculty Employees

Employees whose primary responsibilities include teaching, advising, coaching, and directing student educational activities are considered faculty.

Non-Faculty Employees

Employees whose primary responsibilities include supporting either the academic infrastructure or the operations of the School are considered non-faculty employees.

Full-time Employees: Faculty

Full-time faculty are those who are scheduled for and teach, chair, or serve as dean for the equivalent of 8 courses or equal commitments per school year. Upon commencement of employment, regular full-time faculty are eligible for most employee benefits described in this handbook, in accordance with the enrollment requirements of the benefit plans.

³ San Francisco University High School, page 12. Standard legal language.

⁴ San Francisco University High School, page 16-17, Standard legal language. We especially liked how UHS clarified each type of classification. This is very clear when describing faculty and non-faculty positions. We found that classifications are often confusing, especially within an academic environment. Faculty positions create another layer of complexity.

Full-time Employees: Non-Faculty

Full-time non-faculty are those who are scheduled for and do work for 40 hours per week. Upon commencement of employment, regular full-time non-faculty are eligible for most employee benefits described in this handbook, in accordance with the enrollment requirements of the benefit plans.

Part-time Employees: Faculty

Part-time faculty employees are those who are scheduled for and teach, chair, or serve as dean for fewer than the equivalent of 8 courses or equal commitments per school year. Part-time faculty employees who have 4 or more courses or equivalent commitments per school year are eligible for most of the employee benefits described in this handbook, in accordance with the enrollment requirements of the benefit plans.

Part-time Employees: Non-Faculty

Part-time non-faculty employees are those who are scheduled for and do work for fewer than 40 hours per week. Part-time non-faculty employees who work regularly (averaged over a year) 20 hour per week or more are eligible for most of the employee benefits described in this handbook, in accordance with the enrollment requirements of the benefit plans.

Exempt Employees: Faculty

Exempt faculty employees are professionals who have significant autonomy in performing their duties. All faculty are exempt employees, and are expected to fulfill and manage their classroom, preparation, and school community commitments as delineated in their compensation agreements and/or position descriptions, including being present at school during prescribed work hours. They are not entitled to overtime or compensatory time off. They are salaried employees.

Exempt Employees: Non-Faculty

Exempt non-faculty employees are professionals who have significant autonomy in performing their duties and /or may have responsibility for supervising other employees. They are expected to fulfill and manage their administrative and school community commitments as delineated in their compensation agreements and/or position descriptions, including being present during prescribed business hours. They are not entitled to overtime or compensatory time off. They are salaried employees.

Non-Exempt Employees: Faculty

Non-exempt faculty employees have little autonomy in performing their duties. Such faculty employees as substitutes, tutors and are non-exempt employees. They may be hourly or salaried, and are entitled to overtime.

Non-Exempt Employees: Non-Faculty

Non-exempt non-faculty employees have little autonomy in performing their duties, and they are predominately under the direction of a supervisor. Such non-faculty employees as administrative assistants, custodians, and receptionists are non-exempt employees. They may be hourly or salaried, and are entitled to overtime.

Recruitment and Application

Job Descriptions

Pacific Ridge uses job descriptions in several ways: (1) recruiting and selection, (2) wage and salary administration, and (3) annual performance development plans and reviews.

Job descriptions help employees and supervisors communicate regarding job responsibilities and functions. However, job descriptions are subject to change and are merely guidelines, which may change over time.

From time to time, you may be asked to perform duties and handle responsibilities that are not specifically contained in your job description. You are not permitted to refuse to perform duties or to handle responsibilities simply because they may not be in your job description at the time you are asked to do them and refusal to do so will be grounds for disciplinary action.

If, over a period of time, these new duties and responsibilities remain a significant part of your assignment, your job description should be updated. This can be initiated through your supervisor.⁵

Job Postings

The policy of the Pacific Ridge is to post the majority of job vacancies for regular part-time and regular full-time positions. Internal openings can be found on the Human Resources homepage and are listed there for at least three working days prior to any formalized external recruitment activities being initiated.

Interested employees are encouraged to apply for open positions for which they believe themselves to be qualified. For operational reasons, staff is expected not to apply for a new role during the first six months in a position. In situations such as position eliminations, reorganizations, temp-to-full-time opportunities, or cases of a compelling organizational need, exceptions to this six-month guideline may be waived by the respective supervisor with approval from Human Resources. If you wish to apply for a posted position, you should submit a resume to the Human Resources. All applicants will be considered on the basis of job-related qualifications and experience.⁶

Applications

The application for employment is an important phase of the hiring procedure and becomes part of the employee's file. All previous employment, schooling, and periods of unemployment must be indicated on the application. The application must be filled out completely, including references. The responses given on the application are to be true and any misrepresentation and/or omission may result in disqualification or dismissal. All information submitted on the application form is subject to verification.⁷

Applicant Screening

Reference Checks/Employment Verification

Prior to hiring employees, the School will conduct a preliminary reference check. The School reserves the right to dismiss an employee at any time after hire for reason of willful omission, falsification or miss-statements of material facts on the employment application, or upon discovery of unfavorable information as a result of investigations. All information is held in confidence.⁸

⁵ Center for Creative Leadership Employee Handbook; Revised November 2006; Page. 14. Although many of the other policy manuals did not include this section, we thought it was valuable to mention that sometimes you will be asked to perform duties outside your job description.

⁶ Center for Creative Leadership; Page 14.

⁷ Francis Parker 2006 Handbook for Administration, Faculty, Professional Staff and Staff; Page 12.

⁸ Francis Parker. Page 12.

Employment Forms

The Human Resources Department maintains the personnel folders for each employee of the School. The following forms are required whenever an individual is hired or re-hired (if gone longer than 12 consecutive months). All applicants must complete the W-4 and I-9 forms.) The first 12 items are to be completed, signed, and dated by the employee.

- Employment Application
- Employment Emergency Data Form
- W4 Form
- Form I9
- Child Abuse Statement
- Workers Comp Form
- Motor Vehicle Report
- Employee Vehicle ID Form
- Direct Deposit Form
- Employee Handbook Acknowledgement Form
- Safety Manual Acknowledgement Form
- Employment Agreement
- Fingerprints or copy of CA Teaching Credential
- Proof of Negative TB Test
- Disability Insurance
- Paid Family Leave Brochure
- Sexual Harassment Brochure
- Employee Handbook
- Safety Form
- Drug Free Workplace Statement⁹

Employment Contracts

Pacific Ridge has the right to require employment contracts of certain employees.¹⁰

SUMMARY OF BENEFITS

Medical Coverage

Employees who work regularly 20 hours or more per week (including faculty employees with 4 or more courses or equivalent commitments per school year) are eligible for medical insurance, as are their dependents. The School offers three different medical plans; two HMOs and one PPO. Coverage begins on the first day of the first full month of employment. The School pays the premium for employees, and pays half the premium for eligible dependents. The portion of the premium paid by the employee is deducted from wages via payroll deduction. In the event of an increase in medical insurance premium rates, all employees may be required to contribute to the cost of increased premiums to retain coverage. Should an employee be eligible for medical insurance and choose not to enroll, the School will not compensate the employee for the amount of the premium. Details about medical insurance coverage are available in a separate publication distributed by the Business Office.¹¹

⁹ Adapted from Francis Parker. Page 10-11. Per discussion with Pacific Ridge, several forms were added and deleted from this list.

¹⁰ Unable to find language requiring employee contracts from any other school. Pacific Ridge will need to further explore this policy.

¹¹ San Francisco University High School. Page 48. This is an example of typical medical coverage. Pacific Ridge will need to customize this policy to reflect their specific coverage.

Dental Coverage

Employees who work regularly 20 hours or more per week (including faculty employees with 4 or more courses or equivalent commitments per school year) are eligible for dental insurance, as are their dependents. Coverage begins on the first day of the first full month of employment. The School pays the premiums for employees and for eligible dependents. In the event of an increase in medical insurance premium rates, all employees may be required to contribute to the cost of increased premiums to retain coverage. Should an employee be eligible for dental insurance and choose not to enroll, the School will not compensate the employee for the amount of the premium. Details about dental insurance coverage are available in a separate publication distributed by Human Resources.¹²

Short-Time Disability

Each employee contributes to the State of California to provide disability insurance mandated by the California Unemployment Insurance Code. Contributions are made through a payroll deduction. Disability insurance is payable when you cannot work because of illness or injury not caused by employment at the School or when you are entitled to temporary workers' compensation at a rate less than the daily disability benefit amount. Specific rules and regulations governing disability are available from the Human Resources.

If you become disabled and eligible for short-term disability benefits from the state, the School will continue to pay you an amount equal to your regular salary less the amount of the disability benefit from the state, for a period of 90 days or through your last day of disability, whichever comes first. On the 91st day, if you are still disabled, compensation from the School will cease, and if you are eligible, you may receive additional insurance benefits under our long-term disability insurance plan.¹³

Life Insurance

The School contributes to a nominal life insurance policy on every employee eligible for health insurance.¹⁴

Retirement Plan

Our 403-b retirement plan is provided through Teachers Insurance Annuity Association and College Retirement Equities Fund (TIAA-CREF). Participation in the retirement plan is mandatory for regular full-time and part-time employees after one year of service. Temporary employees over 21 years of age who exceed 1,000 hours of work in a calendar year and are scheduled to work 1,000 or more hours in the subsequent calendar year are also required to participate.

An eligible employee contributes 4% of their salary pre-tax and Pacific Ridge contributes the equivalent of 6% of the employee's salary. However, if during a calendar year the employee's salary exceeds the second Social Security bend point, which changes annually, the Pacific Ridge's contribution increases to the equivalent of 11% on that portion of salary exceeding that amount. This calculation begins again on January 1 of each calendar year.¹⁵

Supplemental Retirement Annuities

Supplemental retirement annuities (SRA's) are a pre-tax retirement savings available to employees who are eligible to participate on the first of the month following one month's employment. SRA's allow employees to plan for retirement and enjoy tax-deferred savings in accordance with IRS guidelines. Pacific Ridge's plan document controls the funding vehicles; however, these funds are the employee's individual savings and the Pacific Ridge does not contribute. Funding options are available through TIAA/CREF or AIG/VALIC. Employees may open an SRA

¹² San Francisco University High School. Page 48. This is an example of typical dental coverage. Pacific Ridge will need to customize this policy to reflect their specific coverage.

¹³ San Francisco University High School. Page 48.

¹⁴ San Francisco University High School. Page 48.

¹⁵ Center for Creative Leadership. Page 65. This is an example of a recommended retirement plan. Pacific Ridge will need to determine the specifics of their plan.

account at any time after becoming eligible. Participation in the plan is flexible providing opportunities to adjust contributions up or down, or stop altogether for a period of time as needed by the individual.¹⁶

COBRA – Continuation of Benefits

On April 7, 1986, a Federal law was enacted (Public Law 99-272 Title X) requiring most employers sponsoring group health plans to offer employees and their families the opportunity for a temporary extension of health coverage (called “continuation coverage”) at group rates in certain instances where coverage under the plan would otherwise end. The Director of Human Resources can provide complete details about the continuation options under the legislation plan known as “COBRA”.¹⁷

Workers Compensation

You are protected by the School’s workers’ compensation insurance policy while employed by the School, at no cost to you. The policy covers you in case of occupational injury or illness. Should you become injured on campus or in the performance of School duties, please notify Human Resources immediately.¹⁸

Unemployment Compensation

The School contributes to the California Unemployment Insurance Fund on behalf of its employees.¹⁹

Tuition Remission (We will provide Pacific Ridge with information about peer schools in San Diego and California. We currently recommend that Pacific Ridge does not have a tuition remission policy, but instead evaluate faculty through the regular financial aid process and adjust accordingly. We do not recommend providing any “non needs based tuition assistance” as a benefit to employees. If PR decides that tuition remission is a necessary benefit in order to attract and retain faculty, then the School might consider a cafeteria plan that would benefit senior faculty or faculty without children in order to be equitable.)²⁰

Flexible Benefits Program

The School offers Flexible Spending Accounts for employees to set aside pre-tax dollars to pay for health, dental, and dependent care expenses not covered by insurance or other benefits. In addition, employees may opt to use the plan to allocate pre-tax dollars to pay for any insurance premiums they pay via payroll deduction.²¹

Lunches

For the convenience of the School, all employees may eat lunch in the cafeteria, each day during the regular days of School from September through June.²²

¹⁶ Center for Creative Leadership, Page 65. This is an example of a recommended supplemental retirement annuities. Pacific Ridge will need to determine the specifics of their plan.

¹⁷ Francis Parker School Handbook for Administration, Faculty, Professional Staff and Staff, 2006, p. 27.

¹⁸ San Francisco University High School. Page 49.

¹⁹ San Francisco University High School. Page 49.

²⁰ The tuition remission debate is alive and well. We recommend reviewing the numerous articles on the NAIS website on the pros and cons of offering tuition remission to employees.

²¹ San Francisco University High School, Page 49.

²² Francis Parker, Page 22.

WORK SCHEDULES & COMPENSATION

School Hours

The School is normally open for business between the hours of 7:00 AM and 5:00 PM, Monday through Friday. Your supervisor, in conjunction with the Head of School, will work out your individual work schedule. All employees are expected to be in their classrooms or at their desks or workstations at the start of their scheduled workdays, ready to work.

Faculty employees are required to be on campus between the hours of 8:00 AM and 3:30 PM (or until the last commitment is met, whichever is later) Monday through Friday. Part-time faculty may have other pro-rated hours, as determined by the Dean of Faculty in conjunction with the Head of School. Occasionally, there will be events that require faculty attendance at other times of the day or week, and faculty are expected to be present.

Non-faculty employees are required to be on campus between the hours of 8:00 AM and 4:30 PM when school is in session. During Winter and Summer academic recess, non-faculty employees' hours are 8:00 AM to 3:30 PM. There are some non-faculty positions (receptionists, custodians) whose specific job requirements demand their presence at other times. Part-time non-faculty may have other pro-rated hours, as determined by the Chief Financial Officer in conjunction with the Head of School. Occasionally, there will be events that require non-faculty attendance at other times of the day or week, and non-faculty are expected to be present.²³

Attendance and Punctuality

The School relies on its employees to contribute productively to its success as an educational institution of distinction. Employees who do not report for work on time, or who miss all or part of a day's work, place an extra burden on their fellow employees. Therefore, regular attendance and punctuality are essential functions of all jobs and are expected of all employees.

Employees are expected to report to work as scheduled, on time, and prepared to start work. Employees also are expected to remain at work for their entire work schedule, except for meal periods, during breaks to check on personal vehicles, or when required to leave on authorized School business. Late arrival, early departure, or other unanticipated and unapproved absences from scheduled hours are disruptive, and for safety and security reasons, must be avoided. Should you need to leave campus for more than 15 minutes during the work day, you must notify your supervisor and the Receptionist(s) when you leave and when you return.

If you are unable to report for work on any particular day, you must, under all but the most extenuating circumstances, call your supervisor at least one hour before the time you are scheduled to begin working for that day. If you call less than one hour before your scheduled time to begin work and do not arrive in time for your assigned responsibilities, you will be considered tardy for that day. In all cases of absence or tardiness, employees must provide their supervisors with an honest reason or explanation. Employees also must inform their supervisors of the expected duration of any absence. Excessive absenteeism or tardiness, whether excused or not, will not be tolerated. This School defines excessive absenteeism as more than 5 days absence in a one-month period.

If you fail to report for work without any notification to your department head and your absence continues for a period of three days, the School will consider that you have abandoned your employment.²⁴

Meals Periods

In accordance with California law, no non-exempt, employee may work for a period of more than 5 hours without a meal period of not less than 30 minutes, except when a work period of not more than 6 hours will complete the day's work. In this case, the meal period may be waived by mutual consent of the School and the employee. The meal period will be scheduled at such time as is determined by the Supervisor as suitable.

²³ San Francisco University High School. Page 17.

²⁴ San Francisco University High School. Page 26-27.

Unless the employee is relieved of all duty during the meal period, the meal period will be considered as time worked ("on duty"). An "on duty" meal period will be considered as hours worked in computing any overtime pay. Only in extreme cases will meal periods be designated as "on duty".²⁵

Rest Periods

In accordance with California law, all non-exempt employees are permitted to take a rest period that, insofar as practical, should be in the middle of each work period. The legally authorized rest period time shall be based on the total hours worked daily at the rate of 10 minutes rest time per 4 hours worked. A rest period need not be authorized when total daily work time is less than 3 hours.

It is the School's policy to provide two 15-minute rest periods, one every 4 hours for a full-time employee. Authorized rest periods are counted as time worked for which there is no deduction from wages. Furthermore, rest periods may not be skipped to shorten the workday.²⁶

Scheduled Closings

When Pacific Ridge is officially scheduled to be closed for holidays or other scheduled closings, any regular full-time or regular part-time, non-exempt employee required to work will be paid 1½ times his/her regular hourly rate for the time actually worked (in addition to the holiday pay). A temporary or special assignment employee who works during a scheduled closing will be paid only at his/her regular hourly rate.²⁷

Unscheduled Closings

In the case Pacific Ridge will close due to some unforeseen circumstance such as adverse weather conditions, mechanical failure, or safety hazard, the following guidelines apply.

When non-exempt staff (regular full-time and regular part-time) are dismissed early for an unscheduled closing, those staff will be paid for the hours they were normally scheduled to work for that day.

If any regular full-time or regular part-time non-exempt employee is asked to remain at the Pacific Ridge despite an unscheduled closing, that individual will be paid at the rate of 1½ times his/her regular hourly rate for **hours actually worked during the closing**. (Note: This policy does not apply to temporary and special assignment non-exempt staff. Those staff are paid only at their regular hourly rates for hours actually worked.)²⁸

Payday / Pay Periods

Paychecks are normally available in the Office by 4:00 PM on the paydays described below. Your paycheck will have a check stub attached that itemize the various deductions required by law or authorized in writing by you. You should keep these statements for your personal records. If an error should ever occur on your paycheck, please report it immediately to Human Resources so that action may be taken for review and adjustment. Paychecks will be presented only to the named employee. Requests for special handling of your check in certain cases must be arranged in advance. In the event of any irregularity, the paycheck will be retained by Human Resources for issuance directly to the employee at a later time.

The workweek begins at 12:01 a.m. Sunday and ends at midnight on Saturday.

Exempt Employees: Monthly Payments

Paydays are scheduled on the 26th of the month, or the last workday before the 26th, for work performed that month. If a regular payday falls on a weekend or holiday, exempt employees will be paid on the preceding workday.

²⁵ Francis Parker. Page 21-22.

²⁶ Francis Parker. Page 22.

²⁷ Center for Creative Leadership. Page 28.

²⁸ Center for Creative Leadership. Page 28.

Non-exempt Employees: Semi-Monthly Payments.

Paydays are scheduled on the 10th and 26th of the month, or the last workday before the 10th and 26th, for the semi-monthly pay periods ending on the 31st day of the prior month and the 15th day of the current month, respectively. If a regular payday falls on a weekend or holiday, employees will be paid on the preceding workday.²⁹

Payroll Advances

The School does not permit advances against paychecks or against accrued or unaccrued vacation.³⁰

Reporting Time Off / Absences

The majority of absences from work should be scheduled in advance and have supervisory approval; however, when you are unable to report to work due to personal illness or any other reason, you must contact your supervisor immediately to report the nature of the problem and when you would expect to return. In cases of prolonged absence, in addition to immediate reporting, it is suggested that you call in from time to time to keep your supervisor updated on your expected return to work date.

An employee who fails to report to work for two consecutive days and does not notify his/her supervisor with an acceptable explanation may be disciplined, up to and including termination.

For absences lasting more than three days, or requiring intermittent absence either for yourself or a sick family member, you should contact Human Resources to determine whether you are entitled to leave benefits such as FMLA or short-term disability.³¹

Overtime

Non-exempt employees may be required to work overtime as necessary. Only actual hours worked in a given workday or workweek can apply in calculating overtime. The School will attempt to distribute overtime evenly and accommodate individual schedules. All overtime work must be previously authorized by a supervisor. The School provides compensation for all overtime hours worked by non-exempt employees in accordance with state and federal law as follows:

All hours worked in excess of eight hours in one workday or 40 hours in one workweek will be treated as overtime. A workday begins at 12:01 a.m. and ends at midnight 24 hours later. Workweeks begin each Sunday at 12:01 a.m;

Compensation for hours in excess of 40 for the workweek, or in excess of eight and not more than 12 for the workday, and for the first eight hours on the seventh consecutive day of work in one workweek, shall be paid at a rate one and one-half times the employee's regular rate of pay;

Compensation for hours in excess of 12 in one workday and in excess of eight on the seventh consecutive workday in a workweek shall be paid at double the regular rate of pay.

Exempt employees may have to work hours beyond their normal schedules as work demands require. No overtime compensation will be paid to exempt employees.³²

Compensatory Time

Private-sector employers such as Pacific Ridge by law are not permitted to give non-exempt employees compensatory time (comp time) in lieu of wages, except under very restrictive conditions. However, the Fair Labor

²⁹ San Francisco University High School. Page 19. Pacific Ridge will need to revise this policy to reflect their payday policy.

³⁰ Per Phil Hitch, there will be no payroll advances.

³¹ Center for Creative Leadership, Page 33.

³² San Francisco University High School. Page 18.

Standards Act (FLSA) does permit private employers to provide time-off plans in lieu of overtime pay if certain conditions are met. Pacific Ridge's time-off plan is as follows:

Time-off in Lieu of Overtime. Non-exempt employees may take time off in lieu of receiving overtime pay provided:

- Overtime hours are offset by a proportionate number of time-off hours that are equal to the number of hours that an employee would have received in pay, and
- Time off is taken within the same pay period.³³

Direct Deposit

The School offers automatic payroll deposit for all employees. You may begin and stop automatic payroll deposit at any time. To begin automatic payroll deposit, you must submit a cancelled check from the bank account into which you wish to deposit to Human Resources at least 15 days before the pay period for which you would like the service to be set up. The automatic deposit should begin with the second payroll following your submission of the cancelled check. You should carefully monitor your payroll deposit statements for the first two pay periods after the service is set up.

To stop automatic payroll deposit, notify Human Resources in writing at least 15 days before the pay period for which you would like the service to end. You will receive a regular payroll check on the first pay period after the receipt of the notification, provided it is received no later than 15 days before the end of the pay period.³⁴

VACATIONS, HOLIDAYS AND LEAVE

Holidays

The School observes the following paid holidays:

- January 1 — New Year's Day
- Martin Luther King Jr.'s Birthday
- Presidents' Day
- Memorial Day
- July 4th — Independence Day
- Labor Day
- Veteran's Day
- Yom Kippur
- Thanksgiving Day and the Friday after
- December 25 -- Christmas Day

³³ Center for Creative Leadership. Page 30.

³⁴ San Francisco University High School. Page 19.

When a holiday falls on a Saturday or Sunday, it is usually observed on the preceding Friday or the following Monday. However, the School may close on another day or grant compensating time off instead of closing. Holiday observance will be announced in advance.

Each employee's eligibility for holiday pay begins after commencement of employment. To be eligible for holiday pay, you must be regularly scheduled to work on the day on which the holiday is observed and must work your regularly scheduled working days immediately preceding and immediately following the holiday, unless an absence on either day is approved in advance by your supervisor. If you are non-exempt and you are required to work on a paid scheduled holiday, you will receive straight time pay. An employee who is scheduled to work on a holiday and fails to report for work on that day will be ineligible for holiday pay. If the absence was due to illness, the employee may be asked to provide written documentation from a licensed physician excusing the absence in order to receive payment for the holiday.

Holidays are not paid to employees who are on a leave of absence.³⁵

Vacations and Rollover Policy

Faculty employees are entitled to approximately 9 weeks vacation time per year of active service, to be taken during the summer. The precise length of the vacation period will vary somewhat from year to year, based on the school calendar, and runs from the completion of their duties in June and the commencement of their duties in August. Faculty do not have discretion on scheduling vacation time because of their responsibilities dictated by the School calendar.

Academic breaks in Winter and Spring are considered part of the School year, and are not vacation time. Active service commences with an employee's first day of work and continues thereafter unless broken by an absence without pay, a leave of absence, or termination of employment. Vacation does not accrue during absences without pay or leaves of absence or while on disability salary continuation, except as required by law. Vacation accruals recommence when the employee returns to work.

Vacation accrues monthly, on a pro-rated basis. Temporary faculty employees do not accrue paid vacation.

Non-faculty employees earn either 5 weeks (25 days) or 6 weeks (30 days) vacation for each School employment year of active service, depending upon years of service to the School and/or the total number of years of related work experience. Vacation accrues monthly, on a pro-rated basis. Where service to the School is the relevant criterion, non-faculty employees with fewer than 5 years of service receive 5 weeks of vacation per year, and those with 5 or more years of service to the School receive 6 weeks of vacation per year. Where related work experience is the criterion, the Head of School will decide whether the vacation allowance will be 5 weeks or 6 weeks. Annualized vacation allowances are pro-rated for employees who work fewer than 12 months in a School employment year.

Active service commences with an employee's first day of work and continues thereafter unless broken by an absence without pay, a leave of absence, or termination of employment. Vacation does not accrue during absences without pay or leaves of absence. Temporary non-faculty employees do not accrue paid vacation.

Vacation accrues according to the following formula: [prior month's balance] – [current month's usage] + [current month's accrual].

Vacation can accrue up to a maximum of six paid weeks (30 work days). Once this cap is reached, no further vacation will accrue until some vacation is used. When some vacation is used, vacation accrual will begin again. The School does not grant vacation compensation for any period of time during which the accrued vacation compensation was at the cap.

The School encourages non-faculty employees to take vacation annually. Non-faculty employees become eligible for vacation time as it is earned, and may use it as work schedules permit. Vacation schedules must be coordinated with and approved by supervisors in advance. The School schedule and work flow determine permissible vacation periods, for which employees may need to defer or otherwise adjust accordingly. In addition, non-faculty

³⁵ Adapted from San Francisco University High School. Page 36. Added Veteran's Day. San Diego observes Veteran's Day more than residents of San Francisco.

employees may be required to use vacation time during extended School breaks (e.g., Winter Break, Spring Break). This is to provide paid time off for all employees during extended School breaks without penalizing those individuals whose responsibilities keep essential School services functioning during these periods. The actual number of available work days in these breaks will vary according to the School calendar. Supervisors, making every effort to accommodate individual needs and requests, will decide the actual number of days employees will be required to use vacation time, which may vary by department and by employee. However, employees who are scheduled to use vacation may not report to work during their vacation for the sole purpose of saving vacation time for later use.

Employees may not take or borrow vacation before it is accrued, except with the express, written approval of the Head of School. The employee will be required to sign a written agreement, authorizing deduction from the final paycheck if termination occurs with a negative vacation balance.

Employees on unpaid leave or leave of absence do not accrue vacation time. If a holiday occurs during your vacation period, it will not be considered a vacation day. You will receive holiday pay for the day and credit will be maintained for another day of paid vacation.

An employee whose employment terminates will be paid for accrued unused vacation days on a pro rata basis, at the rate of pay in effect on the date of termination.

Employees are responsible for keeping track of their vacation usage.³⁶

Personal Illness

In order to help prevent employees' loss of earnings that may be caused by accident or illness, the School provides paid sick leave. Sick leave is intended to be used only when actually required to recover from illness or injury; sick leave is not for "personal" absences. Sick leave also may be used by employees for the purpose of securing necessary medical treatment. The School may require employees to use their accrued, unused sick leave during a leave of absence for their own or a covered family member's illness or serious health condition.

All regular employees are entitled to 9 days paid sick leave per year, granted at the beginning of the employment year. Temporary employees are not entitled to sick leave benefits.

Employees may use up to half of their annual accrual of sick leave to attend to the illness of a child, parent, spouse, or domestic partner. Leave for this purpose may not be taken until it has actually accrued. However, such family-related sick leave usage is subject to all of the same conditions and restrictions which apply to each employee's use of earned sick leave for his or her own personal illness. For example, employees must give as much prior notice as possible of such need to be absent, are subject to the same verification of illness requirements, and are subject to termination for any falsification of information related to such family illness sick leave usage.

For purposes of sick leave use, a "child" is defined as a biological, foster, or adopted child; stepchild; or a legal ward. A "child" also may be someone for whom you have accepted the duties and responsibilities of raising, even if he or she is not your legal child.

A "parent" is your biological, foster, or adoptive parent; stepparent; or legal guardian.

A "spouse" is your legal spouse according to the laws of California, which do not recognize "common law" spouses (a union that has not been certified by a civil or religious ceremony). All conditions and restrictions placed on an employee's use of sick leave apply also to sick leave used for the care of a child, parent, or spouse.

A "domestic partner" is another adult with whom you have chosen to share your life in an intimate and committed relationship of mutual caring, and with whom you have filed an Declaration of Domestic Partnership with the Secretary of State.

A "domestic partner's child" is the biological, foster, or adopted child; stepchild; or legal ward of your domestic partner. A "domestic partner's child" also may be someone for whom your domestic partner has accepted the duties and responsibilities of raising, even if he or she is not your domestic partner's legal child.

³⁶ San Francisco University High School. Page 37.

Employees must notify their immediate supervisors of their need to take sick leave as soon as practicable and, in no event, no later than 30 minutes after their scheduled starting time. Supervisors must immediately report employees' use of sick leave to Human Resources.

The School reserves the right to request verification from a health care provider for all absences due to illness or disability. Sick pay may be withheld if a satisfactory verification is not provided by the employee.

Eligible employees will receive pay at their normal base rate for any sick leave taken. However, no employee will receive pay in lieu of sick leave for any accrued but unused sick leave at the close of any calendar year or at the time of termination.³⁷

Personal Days

All permanent employees are entitled to 3 paid personal days off per year (pro-rated for employees working a partial year) to take at any time for any reason. Personal days must be scheduled in advance and approved by the Dean of Faculty (faculty employees) or the immediate supervisor (non-faculty employees). The School calendar and work flow will be a factor in approving personal day use and employees may need to defer or otherwise adjust accordingly.

The entire personal days allotment is granted on the first day employment or on the first day of the School's employment year, and they remain until either they are used or the employment year ends. Personal days are capped at 3 days, and unused personal days from one year may not be added to the annual allotment for subsequent years. Only when an employee terminates his or her employment will unused personal days be paid, at the rate of pay in effect on the date of termination.

Personal days may not be added to vacation days or school holidays to extend vacations or holidays.³⁸

Required Use of Paid Leave Prior to Unpaid Leave

Employees are required to take accrued and unused paid sick leave and accrued and unused vacation before taking unpaid leave, or having unpaid absences. Family and Medical Leave (under both state and federal law) is included with this requirement.

If you are absent for a reason that qualifies you for Paid Family Leave (PFL) payments, you are required to first use any accrued and unused vacation, up to a maximum of two weeks in a 12-month period. If you do not have accrued vacation, you will be required to use accrued sick leave for the first 7 days before PFL payments begin. You must exhaust all paid sick leave before taking any unpaid absences.

PFL benefits do not replace all of your usual wages. Your PFL benefits will be supplemented with any accrued and unused sick leave. If you have not sick leave, or once you exhaust your sick leave, accrued and unused vacation will be used to supplement your PFL benefits.

Employees who are absent because of their own disability may be eligible for State Disability Insurance (SDI) benefits. SDI payments do not begin until after you have been absent from work for 7 calendar days. If you have accrued sick leave, sick leave will be used for the first 7 days before SDI payments begin. If you do not have accrued sick leave, but do have accrued vacation, vacation will be substituted for the unpaid absence.

SDI benefits do not replace all of your usual wages. Your SDI benefits will be supplemented with any accrued and unused sick leave. If you have no sick leave, or once you exhaust your sick leave, accrued and unused vacation will be used to supplement your SDI benefits.

Please refer to specific descriptions of the various unpaid leave types for details.

Requests for a leave of a personal nature will be considered at the time of request. A personal leave, if granted, carries with it neither service requirements nor guarantees of job protection. Employees who wish to be considered for a personal leave should contact their supervisors and the Head of School for more information. The decision

³⁷ San Francisco University High School. Page 38.

³⁸ San Francisco University High School. Page 37.

whether to grant personal leave rests solely with the Head of School. Personal leave normally will not be granted unless all accrued, unused vacation and personal days have been exhausted.

Any leave taken under this provision that qualifies as leave under the state and/or federal Family and Medical Leave Acts will be counted as family/medical leave and charged to your entitlement of 12 workweeks of family/medical leave in a 12-month period.³⁹

Personal Activities Leave

Employees are encouraged to participate in the school activities of their child(ren). Any absence from work is subject to the following conditions:

- Parents, guardians, or grandparents having custody of one or more children in kindergarten or grades one to 12 may take time off for a school activity;
- The time off for school activity participation cannot exceed eight hours in any calendar month, or a total of 40 hours each school year;
- Employees planning to take time off for school visitations must provide as much advance notice as possible to their supervisors;
- If both parents are employed by the School, the first employee to request such leave will receive the time off. The other parent will receive the time off only if the leave is approved by his or her supervisor;
- Employees must use vacation or personal leave in order to receive compensation for this time off;
- Employees who do not have paid time off available will take the time off without pay, and

If an employee who is the parent or guardian of a child facing suspension from school is summoned to the school to discuss the matter, the employee should alert his or her supervisor as soon as possible before leaving work. In agreement with California Labor Code Section 230.7, no discriminatory action will be taken against an employee who takes time off for this purpose.⁴⁰

Family and Medical Leave of Absence (FMLA)

State and federal family and medical leave laws provide up to 12 workweeks of unpaid family/medical leave within a 12-month period, under the following conditions:

- the employee must have worked for the School for at least 12 months prior to the date on which the leave is to commence;
- the employee must have worked at least 1,250 hours during the previous 12-month period before the date the leave is to begin; and
- the employee must work at the School's location or within 75 miles of that facility.

For purposes of calculating the 12-month period during which 12 weeks of leave may be taken, the School uses a rolling 12-month period measured forward from the date the employee's leave commences. Under most circumstances, leave under federal and state law will run at the same time and the eligible employee will be entitled to a total of 12 weeks of family and medical leave in the designated 12-month period.

Family/medical leave is permitted for one or more of the following reasons:

- the birth of the employee's child, or the placement of a child with the employee for adoption or foster care
- the care of the employee's spouse, registered domestic partner, child, or parent who has a serious health condition.
- an employee's own serious health condition that makes the employee unable to perform his or her job.

³⁹ San Francisco University High School. Page 38.

⁴⁰ San Francisco University High School. Page 41. Modified title from "School Activities Leave" to "Personal Activities Leave"

However, leave because of the employee's disability for pregnancy, childbirth, or related medical condition is not counted as time used under California law (the California Family Rights Act). Time off because of pregnancy disability, childbirth, or related medical condition does count as family and medical leave under federal law (the Family and Medical Leave Act). Employees who take time off for pregnancy disability and who are eligible for family and medical leave will also be placed on family and medical leave that runs at the same time as their pregnancy disability leave. Once the pregnant employee is no longer disabled, she may apply for leave under the California Family Rights Act, for purposes of baby bonding.

Any leave taken for the birth, adoption, or foster care placement of a child does not have to be taken in one continuous period of time. California Family Rights Act leave taken for the birth or placement of a child will be granted in minimum amounts of two weeks. However, the School will grant a request for a California Family Rights Act leave (for birth/placement of a child) of less than two weeks' duration on any two occasions. Any leave taken must be concluded within one year of the birth or placement of the child with the employee.

Please contact Human Resources as soon as you realize the need for family/medical leave.

If the leave is based on the expected birth, placement for adoption or foster care, or planned medical treatment for a serious health condition of the employee or a family member, the employee must notify the School at least 30 days before leave is to begin. The employee must consult with his or her supervisor regarding scheduling of any planned medical treatment or supervision in order to minimize disruption to the operations of the School. Any such scheduling is subject to the approval of the employee's health care provider or that of the employee's child, parent, or spouse.

If the employee cannot provide 30 days' notice, the School must be informed as soon as it is practical.

If the Family and Medical Leave Act/California Family rights Act request is made because of the employee's own serious health condition, the School may require, at its expense, a second opinion from a health care provider that the School chooses. The health care provider designated to give a second opinion will not be one who is employed on a regular basis by the School. If the second opinion differs from the first opinion, the School may require, at its expense, the employee to obtain the opinion of a third health care provider designated or approved jointly by the School and the employee. The opinion of the third health care provider shall be considered final and binding on the School and on the employee.

The School requires the employee to provide certification from a health care provider within 15 days of any request for family and medical leave under state and federal law, unless it is not practicable to do so. The School may require recertification from the health care provider if additional leave is required.

If the leave is needed to care for a sick child, spouse, or parent, the employee must provide a certification from the health care provider stating:

- date of commencement of the serious health condition;
- probable duration of the condition;
- estimated amount of time for care by the health care provider; and
- confirmation that the serious health condition warrants the participation of the employee.

When both parents are employed by the School, and request simultaneous leave for the birth or placement for adoption or foster care of a child, the School will not grant more than a total of 12 workweeks family/medical leave for this reason.

If an employee cites his or her own serious health condition as a reason for leave, the employee must provide a certification from the health care provider stating:

- date of commencement of the serious health condition;
- probable duration of the condition; and
- inability of the employee to work at all or to perform any one or more of the essential functions of his or her position because of the serious health condition.

The School will require certification by the employee's health care provider that the employee is fit to return to his or her job. Failure to provide certification by the health care provider of the employee's fitness to return to work will result in denial of reinstatement for the employee until the certificate is obtained.

An employee taking family medical leave will be allowed to continue participating in any health and welfare benefit plans in which he or she was enrolled before the first day of the leave (for a maximum of 12 workweeks) at the level and under the conditions of coverage as if the employee had continued in employment for the duration of such leave. The School will continue to make the same premium contribution as if the employee had continued working. The continued participation in health benefits begins on the date leave first begins under Family and Medical Leave Act (e.g., for pregnancy disability leave) or under the Family and Medical Leave Act/ California Family Rights Act (e.g., for all other family care and medical leaves). In some instances, the School may recover from an employee premiums paid to maintain health coverage if the employee fails to return to work following family/medical leave.

Employees on family/medical leave who are not eligible for continued paid coverage may continue their group health insurance coverage through the School in conjunction with the federal COBRA guidelines by making monthly payments to the School for the amount of the applicable premiums. Employees should contact Human Resources for further information. Payment is due when it would be made by payroll deduction.

Paid leave will be substituted for unpaid leave in the following circumstances:

- Accrued sick leave is required to be used during Family and Medical Leave Act/ California Family Rights Act leave for the employee's own serious health condition, or up to a limit of that which is accrued over six months, to attend to the illness of a child, parent, or spouse of the employee; or
- Vacation and personal days are required to be used for any family/medical leave qualifying event, except leave that is also pregnancy disability leave.

Under most circumstances, upon return from family/medical leave, an employee will be reinstated to his or her original job or to an equivalent job with equivalent pay, benefits, and other employment terms and conditions. However, an employee has no greater right to reinstatement than if he or she had been continuously employed rather than on leave. For example, if an employee on family/medical leave would have been laid off had he or she not gone on leave, or if the employee's job is eliminated during the leave and no equivalent or comparable job is available, then the employee would not be entitled to reinstatement. In addition, an employee's use of family/medical leave will not result in the loss of any employment benefit that the employee earned before using family/medical leave.

Reinstatement after family/medical leave may be denied to certain salaried "key" employees under the following conditions:

- An employee requesting reinstatement was among the highest-paid 10 percent of salaried employees employed within 75 miles of the work site at which the employee worked at the time of the leave request;
- The refusal to reinstate is necessary because reinstatement would cause substantial and grievous economic injury to the School's operations;
- The employee is notified of the School's intent to refuse reinstatement at the time the School determines the refusal is necessary; and
- If leave has already begun, the School gives the employee a reasonable opportunity to return to work following the notice described previously.

For additional information about eligibility for family/medical leave, please contact Human Resources.

Employees on Family and Medical Leave Act/California Family Rights Act leave will not continue to accrue vacation, personal days, or sick leave during unpaid Family and Medical Leave Act/California Family Rights Act leave.

Leave granted under any of the reasons provided by state and federal law will be counted as family/medical leave and will be considered as part of the 12-workweek entitlement in a 12-month period. The 12-month period is measured forward from the date any employee's first Family and Medical Leave Act leave begins. Successive 12-

month periods commence on the date of an employee's first use of such leave after the preceding 12-month period has ended. No carryover of unused leave from one 12-month period to the next 12-month period is permitted.⁴¹

Maternity / Paternity Leave

Time off from work because of the employee's disability due to pregnancy, childbirth, or related medical condition is not counted as time used for California Family Rights Act leave, but is counted as time used for Family and Medical Leave Act leave. Pregnant employees may have the right to take a pregnancy disability leave in addition to family or medical leave. Such employees should contact Human Resources regarding their individual situation. Any leave taken for the birth, adoption, or foster care placement of a child does not have to be taken in one continuous period of time. California Family Rights Act leave taken for the birth or placement of a child will be granted in minimum amounts of two weeks. However, the School will grant a request for a California Family Rights Act leave (for birth/placement of a child) of less than two weeks' duration on any two occasions. Any leave taken must be concluded within one year of the birth or placement of the child with the employee.

Pregnancy, childbirth, or related medical conditions will be treated like any other disability, and an employee on leave will be eligible for temporary disability benefits in the same amount and degree as any other employee on leave.

Any female employee planning to take pregnancy disability leave should advise Human Resources as early as possible. The individual should make an appointment with Human Resources to discuss the following conditions:

- Employees who need to take pregnancy disability must inform the School when a leave is expected to begin and how long it will likely last. If the need for a leave or transfer is foreseeable, employees must provide notification at least 30 days before the pregnancy disability leave or transfer is to begin. Employees must consult with Human Resources regarding the scheduling of any planned medical treatment or supervision in order to minimize disruption to the operations of the School. Any such scheduling is subject to the approval of the employee's health care provider;
- If 30 days' advance notice is not possible, notice must be given as soon as practical;
- Upon the request of an employee and the recommendation of the employee's physician, the employee's work assignment may be changed if necessary to protect the health and safety of the employee and her child;
- Requests for transfers of job duties will be reasonably accommodated if the job and security rights of others are not breached;
- Temporary transfers due to health considerations will be granted when possible. However, the transferred employee will receive the pay that accompanies the job, as is the case with any other temporary transfer due to temporary health reasons;
- Pregnancy leave usually begins when ordered by the employee's physician. The employee must provide the School with a certification from a health care provider. The certification indicating disability should contain:
 - The date on which the employee became disabled due to pregnancy;
 - The probable duration of the period of periods of disability; and
 - A statement that, due to the disability, the employee is unable to perform one or more of the essential functions of her position without undue risk to herself, the successful completion of her pregnancy, or to other persons.

Leave returns will be allowed only when the employee's physician sends a release;

- An employee will be required to use accrued sick time (if otherwise eligible to take the time) during a pregnancy disability leave. An employee will be allowed to use accrued vacation or personal time (if otherwise eligible to take the time) during a pregnancy disability leave; and
- Duration of the leave will be determined by the advice of the employee's physician, but employees disabled by pregnancy may take up to four months. Part-time employees are entitled to leave on a pro-rata basis. The four months of leave includes any period of time for actual disability caused by the employee's pregnancy, childbirth, or related medical condition. This includes leave for severe morning sickness and for prenatal care.

⁴¹ San Francisco University High School. Page 42-45.

Leave does not need to be taken in one continuous period of time, and may be taken intermittently, as needed. Leave may be taken in daily increments.

Under most circumstances, upon submission of a medical certification that an employee is able to return to work from a pregnancy disability leave, an employee will be reinstated to her same position held at the time the leave began, or to an equivalent position, if available. An employee returning from a pregnancy disability leave has no greater right to reinstatement than if she had been continuously employed.⁴²

Death / Bereavement / Funeral Leave

The School grants paid leave of absence to employees in the event of the death of the employee's current spouse, child, parent, legal guardian, brother, sister, grandparent, or grandchild; or mother-, father-, sister-, brother-, son-, or daughter-in-law. An employee with such a death in the family may take up to 3 consecutive scheduled work days off with pay with the approval of the School. The Head of School may approve additional unpaid time off.⁴³

Military Leave

Employees who wish to serve in the military and take military leave should contact the Head of School for information about their rights before and after such leave. You are entitled to reinstatement upon completion of military service, provided you return or apply for reinstatement within the time allowed by law.⁴⁴

Jury Duty and Subpoenas

The School encourages employees to serve on jury duty when called. Employees will receive full pay while serving up to 10 days of jury duty. You should notify your supervisor of the need for time off for jury duty as soon as a notice or summons from the court is received. You must provide a copy of your summons to Human Resources for your file. You may be requested to provide written verification from the court clerk of performance of jury service. If work time remains after any day of jury selection or jury duty, you will be expected to return to work for the remainder of your work schedule.

Employees are expected to cooperate with the School in rescheduling jury service to minimize interference with School responsibilities. You may retain any mileage allowance or other fee paid by the court for jury services.⁴⁵

Sabbatical/Professional Leave

Sabbaticals are intended to provide employees a unique opportunity to have an extended time away from their traditional work environment within Pacific Ridge for purposes of refreshment and renewal, and the pursuit of personal goals that will support the strategic direction of Pacific Ridge. Employees who have ten or more years of continuous service with Pacific Ridge may apply for a four-week sabbatical. Employees with twenty years of continuous service may apply for up to twelve weeks of sabbatical leave.

Applications for Sabbaticals will be accepted during the annual enrollment period in June for the following year. Sabbaticals must have the pre-approval of an individual's immediate supervisor and Dean. Employees must meet the years of service requirement as stated above. Consideration for approval will be given by seniority to those who apply for any given year. The number of Sabbaticals approved each year may not exceed 10% of all eligible staff.

Employees who have at least twenty years of service may also use Sabbatical as an early retirement benefit. Individuals who plan to use sabbatical as an early retirement benefit are not included in the ten percent guidelines.

A Sabbatical will be granted only to those employees who are in good standing and will not be approved for anyone who is currently on probation. Additionally, if an employee is placed on probation after having been approved, the

⁴² San Francisco University High School. Page 45-46. Modified title from "Pregnancy Disability Leave" to "Maternity / Paternity Leave"

⁴³ San Francisco University High School. Page 39.

⁴⁴ San Francisco University High School. Page 41.

⁴⁵ San Francisco University High School. Page 39-40.

approval will be revoked until the terms of the probation have been satisfactorily met. Should an individual withdraw from the Sabbatical list in a particular year, alternates from the original application pool will be considered under the same criteria.

Questions regarding this policy should be directed to Human Resources.⁴⁶

PROFESSIONAL CONDUCT, ETHICS AND RESPONSIBILITIES

Creating an Environment of Academic Excellence, Ethical Responsibility, Respect and Global Engagement

The core values of Pacific Ridge School are Academic Excellence, Ethical Responsibility and Global Engagement. As the adult community, we must all respect and model these values for the students. In their relations with the constituents of Pacific Ridge School including parents, students, grandparents, vendors, or prospective faculty and families, faculty and staff are expected to keep these core values and the mission of the school at the forefront of their actions.

Professional Relations

Pacific Ridge employees are expected to be polite, courteous, prompt, and attentive to every School constituent, among whom are parents or guardians, donors, vendors and fellow colleagues. When an employee encounters an uncomfortable situation that he or she does not feel capable of handling, he or she should call his or her supervisor immediately.

School constituents are to be treated courteously and given proper attention at all times. Never regard their questions or concerns as interruptions or annoyances. You must respond to their inquiries, whether in person or by telephone, promptly and professionally. Telephone messages should be returned within 24 hours.

Through your conduct, show your desire to assist anyone in a business relationship with the School in obtaining the help he or she needs. If you are unable to help him or her, find someone who can. Never place a telephone caller on hold for an extended period. Direct incoming calls to the appropriate person and make sure the call is received.

All correspondence and documents must be neatly prepared and error-free. Attention to accuracy and detail in all paperwork demonstrates your professionalism and commitment to those with whom we do business.

Never argue with anyone about a School-related issue. If a problem develops, or if a School constituent remains dissatisfied, ask your supervisor or the Head of School to intervene.⁴⁷

Confidentiality and Proprietary Information

The security of School property is of vital importance to the School. School property includes not only tangible property, such as desks and computers, but also intangible property such as data and information. All employees share responsibility to ensure that proper security is maintained at all times. In the course of your work, you may have access to confidential information regarding the School, its students, its suppliers, its customers, or perhaps even fellow employees. You have responsibility to prevent revealing or divulging any such information unless it is

⁴⁶ Center for Creative Leadership. Page 39. Pacific Ridge will need to make decisions regarding the specifics of the sabbatical policy.

⁴⁷ San Francisco University High School, p. 27. We thought this was one of the better policies that covered general behavior. This was something we put in at the end of the project. It was not on the original table of contents, but we felt it was very reflective of the mission of Pacific Ridge. We added "colleagues" to the list of constituents.

necessary for you to do so in the performance of your duties. Access to confidential information should be on a "need-to-know" basis and must be authorized by your supervisor.⁴⁸

Solicitation and Distribution of Literature

In order to ensure efficient operation of the School's business and to prevent disruption to students and employees, we have established control of solicitations and distribution of literature unrelated to School business on School property.

Employees may not solicit or disturb other employees for any reason whatsoever during working time and may not circulate, distribute, or post notices or other written material of any kind during working time or in working areas. "Working time" is when an employee should be performing his or her job duties. Non-working time includes rest or meal periods, before or after assigned work shifts, and other specified periods, if any, during the work day when employees are not expected to be performing their job duties.

Persons not employed by the School may not solicit nor distribute literature for any purpose at any time without the express authorization of the Head of School.⁴⁹

Discipline and General Conduct

Pacific Ridge expects all employees to accept certain responsibilities, adhere to acceptable business principles in matters of personal conduct, and exhibit integrity at all times. Employees must comply with School policies and procedures, and observe the highest standards of professionalism. When an employee violates the School's rules, it is cause for concern and action.

How Pacific Ridge chooses to administer employee discipline in particular cases in no way alters or limits the at-will employment relationship. Pacific Ridge may choose to exercise its discretion to use forms of discipline that are less severe than termination, depending on the circumstances. Less severe forms of discipline include, but are not limited to, verbal counseling and reprimands, written reprimands, involuntary transfers or demotions, and suspensions. Although one or more of these steps may be taken in connection with a particular employee, no particular order or system is required, and the School may or may not adhere to a "progressive" series of disciplinary actions. The School has the discretion to use whatever form of discipline it believes is appropriate under the circumstances.

Certain acts are considered so serious that they may result in termination of employment for a single offense. Such actions include, but are not necessarily limited to, the following:

- Gross insubordination (e.g., refusal to carry out assigned job duties or work-related directives given by a supervisor);
- Deliberate or reckless actions that causes either actual or potential loss to Pacific Ridge or its employees, or damage to Pacific Ridge or employee property, or physical injury to students and/ or other employees;
- Fighting or disorderly conduct on School premises, engaging in violence or making threats of violence in the workplace, or using obscene, abusive, or threatening language or gestures;
- Unauthorized use or disclosure of confidential or proprietary information, or related materials;
- Dishonesty or misrepresentation, including falsification of reports, records, or Pacific Ridge documents, including employment records, or deliberate failure to accurately complete reports, records, or Pacific Ridge documents;
- Misappropriation or misuse of the Pacific Ridge funds or other assets;

⁴⁸ San Francisco University High School, p. 34

⁴⁹ San Francisco University High School, p. 34.

- Having firearms or weapons on the Pacific Ridge premises or while on school business;
- Use, sale, purchase, transfer, or possession of an illegal drug while on school property or while on school business, except during school-sponsored social events at which alcohol is provided, as long as the degree of impairment is insubstantial;
- Being convicted of a crime that indicates unfitness for the job or raises a threat to the safety or well-being of Pacific Ridge, its employees, its constituents, or its property; and
- Committing of or involvement in any act of unlawful harassment of another individual, or retaliation against an employee who has complained about discrimination or harassment.⁵⁰

Conflicts of Interest

One rule of conduct bears special explanation. As an employee of Pacific Ridge, you are expected to avoid any situation that may involve a conflict between personal interests and the interests of the School. Such situations include, but are not limited to, acceptance of gifts, free services, entertainment or similar favors from an actual or prospective constituent or vendor, or participation in any form of competition with Pacific Ridge.

If you have any questions about whether a particular situation would violate this policy, you should immediately discuss it with your supervisor or Human Resources.

This list is illustrative only, and is not intended to cover every possible situation that may arise. Any conduct that is detrimental to the School's interests or security, or the safety or welfare of the employee or his or her co-workers, may result in corrective action or termination.

Consensual Relations

All employees must avoid situations involving actual or potential conflict of interest. Personal or romantic involvement with a competitor, supplier, or subordinate employee of the School, which impairs an employee's ability to exercise good judgment on behalf of the School, creates an actual or potential conflict of interest. Supervisor-subordinate romantic or personal relationships also can lead to supervisory problems, possible claims of sexual harassment, and morale problems.

An employee involved in any of the types of relationships or situations described in this policy should immediately and fully disclose the relevant circumstances to his or her immediate supervisor, or any other appropriate supervisor, for a determination about whether a potential or actual conflict exists. If an actual or potential conflict is determined, the School may take whatever corrective action appears appropriate according to the circumstances. Failure to disclose facts shall constitute grounds for disciplinary action.⁵¹

Employment of Relatives

Relatives of employees may be eligible for employment with Pacific Ridge only if individuals involved do not work in a direct supervisory relationship or in job positions in which a conflict of interest may arise. "Relatives" are defined to include a spouse, domestic partner, children, siblings, parents, in-laws and step relatives. Present employees who marry or become registered domestic partners will be permitted to continue working on the job position held only if they do not work in a direct supervisory relationship with one another or in job positions involving conflict of interest.⁵²

Accepting Gifts & Gratuities

Because we work in a school, tradition dictates that occasionally, students, parents, or vendors give gifts to employees, generally in recognition of good work. While Pacific Ridge does not prohibit employees' acceptance of

⁵⁰ San Francisco University High School, p. 24.

⁵¹ San Francisco University High School, p. 22.

⁵² The Children's School Staff Handbook, 2006, p. 26.

gifts, all employees should be scrupulous that doing so does not give the appearance of influencing business or academic decisions, transactions, or service. Accepting a gift of significance raises questions of professionalism and conflicts of interest. Employees receiving gifts must disclose gifts of significance to their supervisors. Please discuss expenses paid by such persons for business meals or trips with the School in advance.⁵³

Working outside of Pacific Ridge School

A full-time employee's position at the School is expected to be his or her primary work responsibility. All employees must be able to consistently and effectively meet the performance standards for his or her School position. The employee should think seriously about the effects that such extra work might have on the limits of his or her endurance, his or her overall personal health, and his or her job effectiveness. All employees will be held to the same standards of performance, attendance, promptness and work schedule demands.⁵⁴

Off-duty Conduct

While Pacific Ridge does not seek to interfere with the off-duty and personal conduct of its employees, certain types of off-duty conduct may interfere with the School's legitimate business interests. For this reason, employees are expected to conduct their personal affairs in a manner that does not adversely affect the School's or their own integrity, reputation, or credibility. Illegal or immoral off-duty conduct by an employee that adversely affects the School's legitimate business interests or the employee's ability to perform his or her job will not be tolerated.

While employed by the school, employees are expected to devote their energies to their jobs with the School. For this reason, second jobs are strongly discouraged. The following types of additional employment elsewhere are strictly prohibited:

- Additional employment that conflicts with an employee's work schedule, duties, and responsibilities at Pacific Ridge.
- Additional employment that creates a conflict of interest or is incompatible with the employee's position with Pacific Ridge;
- Additional employment that impairs or has a detrimental effect on the employee's work performance with Pacific Ridge;
- Additional employment that requires the employee to conduct work or related activities on the Pacific Ridge property during the school's working hours or using our school's facilities and/or equipment; and
- Additional employment that directly or indirectly competes with the business or the interests of Pacific Ridge.

Employees who wish to engage in additional employment that may create a real or apparent conflict of interest must submit a written request to Pacific Ridge explaining the details of the additional employment. If the additional employment is authorized, Pacific Ridge assumes no responsibility for it. The school shall not provide workers' compensation coverage or any other benefit for injuries occurring from or arising out of additional employment. Authorization to engage in additional employment can be revoked at any time.

⁵³ San Francisco University High School, p. 27. The Children's School, p.24. We blended the two policies. One of the big distinctions between UHS and TCS was that the later had a specific dollar amount (\$100), above which the gift was deemed inappropriate and needed to be reported to the Head of School and, if possible, returned. We felt this policy would be too hard to enforce, and we could think of enough exceptions to the limit (theater tickets, professional sports tickets, etc).

⁵⁴ Francis Parker School, p. 23. This was a brief policy that summed up the conflicts of interest that may occur when school employees work outside of the school. The policies from UHS that follow may be redundant or they may serve to clarify what "working outside the school" constitutes.

Smoking

The Pacific Ridge Campus is a non-smoking facility.

Drug and Alcohol Use

It is the Pacific Ridge policy to maintain a drug and alcohol free workplace. Use of these substances, whether on or off the job can detract from an employee's work performance, efficiency, safety, and health, and therefore seriously impair the employee's value to the School. In addition, the use or possession of these substances on the job constitutes a potential danger to the welfare and safety of students and of other employees and exposes the School to the risks of property loss or damage, or injury to other persons. Furthermore, the use of prescription drugs and/or over-the-counter drugs also may affect an employee's job performance and may seriously impair the employee's value to the School.

Employees shall not use, purchase, sell, transfer, or possess any form of illegal drugs or any type of drug paraphernalia on Pacific Ridge property at any time or during working time in a professional capacity (e.g., with students) anywhere. Likewise, employees shall not possess or consume alcoholic beverages on school property or during work hours, including lunch and break periods. In addition, employees shall not report for work under the influence of drugs or alcohol.

On occasion, the School may authorize the use of School premises for celebrations or gatherings wherein alcohol is served. Employees participating in these gatherings are expected to show good judgment and reasonable behavior with respect to alcohol.

An employee's conviction on a charge of illegal sale or possession of any controlled substance while off School property will not be tolerated because such conduct, even though off duty, reflects adversely on the School. In addition, the School must keep people who sell or possess controlled substances off the School's premises in order to keep the controlled substances themselves off the premises.

Any employee who is using prescription or over-the-counter drugs that may impair the employee's ability to safely perform the job, or affect the safety or well-being of others, must notify a supervisor of such use immediately before starting or resuming work.

The School will encourage and reasonably accommodate employees with alcohol or drug dependencies to seek treatment and/or rehabilitation. Employees desiring such assistance should request a treatment or rehabilitation leave. The School is not obligated, however, to continue to employ any person whose performance of essential job duties is impaired because of drug or alcohol use, nor is the School obligated to re-employ any person who has participated in treatment and/or rehabilitation if that person's job performance remains impaired as a result of dependency. Additionally, employees who are given the opportunity to seek treatment and/or rehabilitation, but fail to successfully overcome their dependency or problem, will not automatically be given a second opportunity to seek treatment and/or rehabilitation. This policy on treatment and rehabilitation is not intended to affect the School's treatment of employees who violate the regulations described previously. Rather, rehabilitation is an option for an employee who acknowledges a chemical dependency and voluntarily seeks treatment to end that dependency.⁵⁵

Unlawful Harassment

Pacific Ridge is committed to providing a work environment free of unlawful harassment. School policy prohibits sexual harassment and harassment based on pregnancy, childbirth or related medical conditions, race, religious creed, color, gender, national origin or ancestry, physical or mental disability, medical condition, marital status, registered domestic partner status, age, sexual orientation, or any other basis protected by federal, state, or local law or ordinance or regulation. *All such harassment is unlawful.* The school's anti-harassment policy applies to all persons involved in the operation of the school and prohibits unlawful harassment by any employee of the Pacific Ridge, including supervisors and coworkers, as well as vendors, customers, and any other persons. It also prohibits

⁵⁵ San Francisco University High School, p. 25. We modified this section substantially, removing portions about drug and alcohol screening as well as searches of person and property of an employee.

unlawful harassment based on the perception that anyone has any of those characteristics, or is associated with a person who has or is perceived as having any of those characteristics.

Prohibited unlawful harassment includes, but is not limited to, the following behavior:

- Verbal conduct such as epithets, derogatory jokes or comments, slurs or unwanted sexual advances, invitations, or comments;
- Visual displays such as derogatory and/or sexually-oriented posters, photography, cartoons, drawings, or gestures;
- Physical conduct including assault, unwanted touching, intentionally blocking normal movement or interfering with work because of sex, race, or any other protected basis;
- Threats and demands to submit to sexual requests as a condition of continued employment, or to avoid some other loss, and offers of employment benefits in return for sexual favors; and
- Retaliation for reporting or threatening to report harassment.

If you believe that you have been unlawfully harassed, submit a written complaint to your supervisor, the Head of School, or Human Resources as soon as possible after the incident. You will be asked to provide details of the incident or incidents, names of the individuals involved, and names of any witnesses. Supervisors will refer all harassment complaints to Human Resources, investigative officer, or the Head of School. The School will immediately undertake an effective, thorough, and objective investigation of the harassment allegations.

If the School determines that unlawful harassment has occurred, effective remedial action will be taken in accordance with the circumstances involved. Any employee determined by the School to be responsible for unlawful harassment will be subject to appropriate disciplinary action, up to, and including termination. A School representative will advise all parties concerned of the results of the investigation. The School will not retaliate against you for filing a complaint and will not tolerate or permit retaliation by management, employees or co-workers.

The School encourages all employees to report any incidents of harassment forbidden by this policy *immediately* so that complaints can be quickly and fairly resolved. You also should be aware that the Federal Equal Employment Opportunity Commission and the California Department of Fair Employment and Housing investigate and prosecute complaints of prohibited harassment in employment. If you think you have been harassed or that you have been retaliated against for resisting or complaining, you may file a complaint with the appropriate agency. The nearest office is listed in the telephone book.⁵⁶

Dress Code and Other Personal Standards

Employees are expected to wear clothing appropriate for the nature of our business and the type of work performed. Clothing should be neat, clean and tasteful. Avoid clothing that can create a safety hazard. The Head of School may issue more specific guidelines.⁵⁷

EMPLOYMENT RELATIONS

⁵⁶ San Francisco University High School, pp. 13-14.

⁵⁷ San Francisco University High School, p. 27. We particularly liked the language in this dress code because it suggested a level of trust and confidence in the employees. Some dress codes were too rigid. This seemed to fit the Pacific Ridge culture well.

Personnel File

You have a right to inspect certain documents in your personnel file, as provided by law, in the presence of a School representative at a mutually convenient time. No copies of documents in your file may be made, with the exception of documents that you have previously signed. You may add your comments to any disputed item in the file.

The School will restrict disclosure of your personnel file to authorized individuals within the School. Any request for information contained in personnel files must be directed to Human Resources. Only Human Resources is authorized to release information about current or former employees. Disclosure of personnel information to outside sources will be limited. However, the School will cooperate with requests from authorized law enforcement or local, state, or federal agencies conducting official investigations and as otherwise legally required.

The School is required by law to keep current all employees' names and addresses. Employees are responsible for notifying Human Resources in the event of a name or address change.⁵⁸

HIPPA

Pacific Ridge School complies with all HIPPA policies regarding the maintenance of personnel files and health information.

Personal Information

Since tax deductions, insurance benefits, and other administrative matters are often affected by changes in your personal status, it is very important that you notify your supervisor and Human Resources immediately in writing of any changes to your personal information, such as your name, address, telephone number, marital status, number of dependents, insurance beneficiaries, and names of persons to be notified in case of emergency.⁵⁹

Performance Management

Each employee will receive periodic performance reviews conducted by his or her supervisor. The frequency of performance evaluations may vary depending upon length of service, job position, past performance, changes in job duties, or recurring performance problems.

Your performance evaluations may include factors such as the quality and quantity of the work you perform, your knowledge of the job, your initiative, your work attitude, and your attitude toward others. The performance evaluations are intended to make you aware of your progress, areas for improvement, and objectives or goals for future work performance. Favorable performance evaluations do not guarantee increases in salary or promotions. Salary increases and promotions are solely within the discretion of the School and depend upon many factors in addition to performance. After the review, you will be required to sign the evaluation report simply to acknowledge that it has been presented to you, that you have discussed it with your supervisor, and that you are aware of its contents.⁶⁰

Inspection of Property

For the safety and security of the School community, the School reserves the right to inspect its own property, as well as of any of the personal property of its employees on the School premises during work hours. An employee's consent to such a search is required as a condition of employment.

⁵⁸ San Francisco University High School,, p. 21.

⁵⁹ San Francisco University High School,, p. 11.

⁶⁰ San Francisco University High School,, p. 21.

Employment Verification

All requests for references must be directed to Human Resources. No other manager, supervisor, or employee is authorized to release references for current or former employees. By policy, the School discloses only the dates of employment and the title of the last position held of former employees. If you authorize the disclosure in writing, the School also will inform prospective employers of the amount of salary or wage you last earned.

Reimbursement of Expenses

An expense allowance is available for employees who are authorized to incur expenses on behalf of the School, e.g. to attend conferences and workshops and to chaperone student activities. The School will pay up to \$50 per diem meal allowance for full days and the IRS approved mileage rate for automobile transportation when the employee uses his or her own car. Detailed approved accounting, with receipts attached, must be submitted to the Business Office with a "Request for Reimbursement".

To facilitate the procurement of necessary supplies and materials for school use, employees are required to follow this procedure:

Prepare the appropriate requisition (available in the faculty member's school office or Business Office) indicating:

- Quantity needed;
- Full description of item;
- Make, model, catalog, or stock number;
- Size, color, and price;
- Publisher or supplier.

Have the requisition approved by the Head of School, or Supervisor if ordered by non-faculty persons, and forward the request to the Business Office for processing. The Business Office will confirm the account-to-be-charged designation, assign a purchase order number to the requisition, place the order and confirm this to the appropriate person, forward the material upon arrival to the ordering person, and do any follow-up work required. For convenience, small purchases (generally under \$15.00) may be made from the petty cash funds maintained in each School and operating department office. Such purchases must be approved in advance by the Head of School or Supervisor and be documented by invoice, sales slip, or receipt with the description of purchase noted on the petty cash record. The Business Office will not make reimbursement without supporting invoices and/or receipts to cover purchases.⁶¹

Lost and/or Stolen Property

The School does not accept responsibility for personal property lost or stolen on its premises. Furthermore, the School does not replace or reimburse for its loss.⁶²

Layoffs

Under some circumstances, the School may need to restructure or reduce its workforce. If restructuring our operations or reducing the number of employees becomes necessary, the School will attempt to provide advance notice, if possible, to help prepare affected individuals. If possible, employees subject to layoff will be informed of the nature of the layoff and the foreseeable duration of the layoff, whether short-term or indefinite.

⁶¹ Francis Parker School, p.18.

⁶² Francis Parker School, p. 19.

In determining which employees will be subject to layoff, the School will take into account, among other things, its operations and requirements, the skill, productivity, ability, and past performance of those involved, and also, when feasible, the employee's length of service.

Involuntary Termination and Progressive Discipline

Violation of School policies and rules may warrant disciplinary action. The School has established a system of progressive discipline that includes verbal warnings, written warnings, and suspension. The system is not formal and the School may, in its sole discretion, utilize whatever form of discipline is deemed appropriate under the circumstances, up to, and including, termination of employment. The School's policy of progressive discipline in no way limits or alters the at-will employment relationship.

Voluntary Termination / Job Abandonment

Voluntary termination results when an employee voluntarily resigns his or her employment. Job abandonment occurs when an employee fails to report to work for three consecutively scheduled workdays without notice to, or approval by, his or her supervisor. All School-owned property, including vehicles, equipment, supplies, keys, security system fobs, uniforms, identification badges, and credit cards, must be returned immediately upon termination of employment.⁶³

Grievances and the Pacific Ridge "Open-door"

Suggestions for improving Pacific Ridge are always welcome. At some time, you may have a complaint, suggestion, or question about your job, your working conditions, or the treatment you are receiving. Your good-faith complaints, questions, and suggestions also are of concern to the School. If you wish to raise an issue, please take the following steps:

- Bring the situation to the attention of your immediate supervisor, who will then investigate and provide a response or explanation.
- If the issue persists, you may describe it in writing and present it to the Dean of Faculty (faculty employees) or the Chief Financial Officer (non-faculty employees), who will investigate and provide a response or explanation. We encourage you to bring the matter to the Dean of Faculty or Chief Financial Officer as soon as possible after you believe that your immediate supervisor has failed to resolve it.
- If the issue is not resolved, you may present it in writing to the Head of School, who will attempt to reach a final resolution.

This procedure, which we believe is important for both you and the School, cannot guarantee that every problem will be resolved to your satisfaction. However, the School values your observations and you should feel free to raise issues of concern, in good faith, without the fear of retaliation.⁶⁴

⁶³ San Francisco University High School, p. 23. All policies regarding voluntary and involuntary termination were adapted from the UHS manual.

⁶⁴ San Francisco University High School, p. 21. We particularly liked this policy because it reflected the non-punitive nature of "grievance." By referring it as an "open door" policy, it seemed less intimidating and more about improving the school environment and culture.

Whistleblower Policy

WHISTLEBLOWER POLICY EXAMPLE

As with all example policies, this policy may not be appropriate for your school. Schools should work with legal counsel to ensure that all policies and procedures are appropriate for your institution. Neither NAIS nor the law firm Krupin O'Brien warrant or guarantee the appropriateness of this form for any specific school.

Reporting Violations

If any employee reasonably believes that some policy, practice, or activity of the School is in violation of a law, rule, regulation, code of ethics, or a clear mandate of public policy, the employee must report such violation to his or her supervisor, the [Head of School], or the [Board President]. Employees must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to discipline up to and including termination.

No Retaliation

The School will not retaliate against any employee who, in good faith raises a complaint, discloses, or threatens to disclose truthful information regarding some practice, policy, or activity of the School or employee of the School the employee reasonably believes violates a law, rule, regulation, or a clear mandate of public policy to: (1) a supervisor; (2) an individual with authority to investigate, discover, or terminate misconduct; or (3) a law enforcement officer or public body. The School will also not retaliate against any employee who participates in an investigation relating to some practice, policy, or activity of the School or employee of the School that is or is suspected to be in violation of a law, rule, regulation, or a clear mandate of public policy. Retaliation includes discharge, demotion, suspension, threats, harassment, or any adverse employment action. Any whistleblower who believes he/she is being subject to retaliation as a result of whistleblowing activities must contact the [Human Resources Department] or [Head of School] immediately.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible. However, identity may have to be disclosed to conduct a thorough investigation, to comply with the law, and to provide the School and/or accused individuals their legal rights of defense.

Investigation

The audit committee of the board of trustees is responsible for investigating and resolving all internal complaints and allegations of financial or accounting impropriety made under this policy. All other complaints will be investigated by the [Head of School].

My signature below indicates my receipt and understanding of this policy. I also verify that I have been provided with an opportunity to ask questions about the policy.

Employee Signature Date

1 18 U.S.C. § 1514A

2 18 U.S.C. § 1513(e)⁶⁵

⁶⁵ National Association of Independent Schools, 2005. This was found in the online resources on the website at www.nais.org under the school administration section. There is a second policy developed by the Ravenscroft school, but it was more specific. We thought the more general NAIS policy would be better for Pacific Ridge at this time.

TECHNOLOGY RESOURCES⁶⁶

Telephones (personal use)

While telephones are assigned to almost every office and workstation, employees should realize that they are primarily for business use. Supervisors receive monthly billing statements for each phone in their group. Employees may be held responsible for reimbursing costs for personal use.

Ownership

The computer systems are owned by Pacific Ridge School and are provided to employees for the purpose of assisting with achieving work assignments and fulfilling the mission of the. Employees should think of their PC as a resource that has been entrusted to them for safekeeping and for the accomplishment of their work. These resources include all provided hardware, such as personal computers, desktop, laptops, network servers, and peripheral components, including but not limited to:

- | | |
|------------|---------------------------|
| · printers | · cables and power strips |
| · modems | · expansion cards |
| · memory | |
| · monitors | |

and provided software, such as:

- | | |
|---------------------|----------------------------------|
| · operating systems | · word processing |
| · spreadsheets | · graphics |
| · databases | · any other application software |

All data files that reside on provided hardware are the sole property of Pacific Ridge and should be accessed only by those individuals who have a work-related need. Nothing entered or retained in Pacific Ridge's computing systems is or shall be deemed the individual or personal property of the author or user.

Use of Computers

Pacific Ridge employees are provided with PCs for the purpose of assisting with achieving work assignments and fulfilling the mission of the Pacific Ridge. Employees may not use computers for any illegal activity, or any other use that violates Pacific Ridge policies or that is inappropriate for a tax exempt, non-profit, educational organization or for any extensive unapproved personal work. Questions concerning the activities that are prohibited should be directed to the individual's supervisor, or Human Resources.

Security and Privacy

Non-public documents (documents that are not for general public availability) may be designated as such by the user storing them on the user's ??? drive or other designated locations. Documents so designated are not available to other users. However, these documents remain the property of Pacific Ridge and are subject to review by Pacific Ridge at any time. Staff may access only those files or programs for which they have permission. Unauthorized review of files, data, dissemination of passwords, damage to systems or deletion, removal of programs or improper use of information contained in the computer system is prohibited. **Any materials of a personal nature, generated or transmitted by computer that an employee desires to keep private and confidential should not be placed on the CCL network and should be removed from the Center's computers.**

⁶⁶ Center for Creative Leadership. Page 74-78. All technology policies are adapted from CCL to reflect Pacific Ridge's technology requirements.

Installation of Software

Only employees authorized by Human Resources or authorized representatives of companies contracted to work on Pacific Ridge's computer systems may install software on any of Pacific Ridge's servers, mainframes, desktops, classroom systems, laptops, PDAs or data communications systems. Adding non-approved software increases the probability of degrading the computing environment and rendering it unusable. Pacific Ridge periodically monitors these systems to ensure compliance with this policy. Requests to add non-standard software to Pacific Ridge computers must be authorized by Human Resources.

Backup Procedures

Deleting a file, document, or e-mail message may not necessarily remove that item from Pacific Ridge computing systems. Data is periodically copied to tape for temporary or permanent backup purposes.

Software Piracy

Title 17 of the US Code states that "it is illegal to make or distribute copies of copyrighted material without authorization" (Section 106). Unauthorized and illegal copying of software residing on Pacific Ridge's computers or network is prohibited. Requests for software should be forwarded to the Business Manager. Unauthorized software is not permitted on Pacific Ridge computers.

Prevention of Computer Viruses

Employees have an obligation to assist Pacific Ridge in the prevention of computer viruses being introduced into our computer and data communication system. Employees are expected to use the Pacific Ridge-provided, virus "protection" software and to use good judgment in sharing files and data. If an employee encounters a situation in which he or she suspects a virus has been introduced into his/her computer, he or she should notify Human Resources.

E-mail

Staff using Pacific Ridge's e-mail system should do so within the same context and within the same limitations as if they were using Pacific Ridge's letterhead stationery. Staff should use personal e-mail accounts for correspondence of a personal nature. Use of distribution lists to communicate information of a personal nature using the Pacific Ridge e-mail system is improper. When appropriate to do so, users are expected to add a disclaimer to their e-mail messages that communicates to the reader that the opinions reflected in the text are the sender's and not necessarily those of Pacific Ridge. An example of a disclaimer is:

This message may contain Privileged/Confidential information. If you are not the addressee indicated in this message or responsible for delivery of the message to such person, you may not copy or deliver this message to anyone. In such cases, you should destroy this message and kindly notify the sender by reply e-mail. Opinions, conclusions and other information in this message that do not relate to the official business of my firm shall be understood as neither given nor endorsed by it.

Every Pacific Ridge e-mail user is assigned ??? megabytes of space for their mailbox.

Internet

The Internet is a valuable Pacific Ridge resource, helping employees improve their efficiency by providing fast access to files and information for purposes of research, program delivery, marketing, administrative support, business, resource and professional development. Therefore, every employee who has a Pacific Ridge personal

computer assigned will be granted access to the Internet. For the purposes of this policy, the following definitions and rules apply:

- The Internet is a network that links computer networks all over the world, connecting users with service networks such as e-mail and the World-Wide Web, and includes all mechanisms for file access supported thereby.
- The Internet can be entertaining and fascinating, thereby serving as a potential distraction for employees – to the degree that they use it for non-work related activities.
- Files from unverified sources must not be downloaded. All downloaded files should be scanned for viruses BEFORE accessing them. Any suspicious files and/or websites should be reported to ITG.
- All amusement oriented or other non-work related activities must be limited to sanctioned breaks.
- Use of Pacific Ridge's Internet or e-mail capabilities for commercial purposes of any sort is strictly prohibited.

Employees should understand that it is possible to trace websites they visit. In addition, each site that is visited from a Pacific Ridge-owned computer leaves a unique identifier, which informs that site that the visitor was from Pacific Ridge. Therefore, when using the Internet either while at Pacific Ridge, or while using Pacific Ridge's remote access (RAS) capabilities, all Pacific Ridge employees must comply with the following policy:

- Offensive sites are not to be accessed at any time. This includes, but is not limited to all content that is pornographic, illegal, violent, hateful, or that otherwise run counter to Pacific Ridge's mission and values. Employees are expected to exercise good judgment in their characterization of the above.

If you believe that you have witnessed another employee accessing/ downloading/posting offensive materials at any time, you must report your observations immediately to Human Resources. It is not sufficient to inform your supervisor or another member of management.

Resources

The Policy and Procedures Manuals we referenced included:

The Center for Creative Leadership, Greensboro, NC

The Children's School, San Diego, CA

Francis Parker School, San Diego, CA

Lick-Wilmerding High School, San Francisco, CA

Notre Dame University, South Bend, IN

San Francisco University High School, San Francisco, CA

The following resources came from the National Association of Independent Schools website (www.nais.org). These documents are a sampling of the type of information available.

Sarbanes-Oxley Whistleblower Protection for Employees of Independent Schools

Prepared for NAIS by Grace Lee, Krupin O'Brien¹

July 2005

The Sarbanes-Oxley Act of 2002 ("the Act") was passed in response to much publicized corporate scandals in an effort to increase accountability of corporations to their shareholders and restore public trust in America's corporations. Though most provisions of the Act govern accounting and financial reporting requirements for publicly traded companies, private entities cannot simply ignore the Sarbanes-Oxley Act. The Act contains strong protections for whistleblowers that apply to both public and private companies and organizations – including independent schools.

What is the law?

Section 806 of the Act¹ provides a civil cause of action to any employee of a publicly traded company (or a non-publicly traded subsidiary of a public company) who claims he or she was retaliated against for providing information or making a complaint regarding activity the employee "reasonably believes" violates federal antifraud or securities laws or regulations.

In addition, Sarbanes-Oxley provides a second major whistleblower provision that generally makes it a crime for *any employer*, including privately owned employers, to retaliate against employees who provide a law enforcement officer truthful information relating to the possible commission of *any* federal offense. Specifically, Section 1107² of the Act states that "whoever knowingly, with the intent to retaliate, takes any action harmful to any person, including interference with the lawful employment or livelihood of any person, for providing to a law enforcement officer any truthful information relating to the commission or possible commission of any Federal offense, shall be fined under this title or imprisoned not more than 10 years or both."

In private entities such as independent schools, the Act is not triggered by internal complaints to company personnel with supervisory or investigative authority, and only applies when an employee makes a truthful report to a "law enforcement officer." However, Section 1107 applies not just to reports of fraud against shareholders, but reports of wrongdoing involving *any* federal law. Indeed, the statute is written broadly enough that it could include investigations by the EEOC, OSHA, the Wage and Hour Division of the Department of Labor, the United States Citizenship and Immigration Services, and others. Section 1107 of the Act also prohibits *any action* harmful to any person, including interference with the lawful employment or livelihood of any person. Such language covers not only discharge, but also varying less severe types of employment actions.

¹ The information contained in this document is for informational purposes only. It should not be relied upon as or in place of legal advice. Schools and others looking to implement policies and procedures should work with legal counsel to ensure the appropriateness of policies.

What are the remedies for violations of the Act?

Under the Act's whistleblower provision, it is considered a criminal matter if the school takes action against an employee who provides information to a law enforcement officer concerning the commission of any federal offense. Specifically, employers, including independent schools, and their agents may be fined up to \$500,000 and imprisoned for not more than 10 years, or both if they intentionally retaliate against employees who provide information or otherwise assist law enforcement in a wide range of investigations that relate to a variety of federal offenses. Criminal penalties can apply to individual supervisors and managers as well as employers.

Section 1107 has also been codified as an amendment to the federal criminal code section prohibiting retaliation against witnesses, victims or informants, which is a "predicate act" under the federal racketeering statute, known as RICO. As such, violations of Section 1107 can provide a basis for an affected employee to bring a civil RICO claim against an employer for triple damages.

Are there other laws that protect whistleblowers?

In addition to Sarbanes-Oxley, there are other federal laws, such as the False Claims Act and OSHA that protect whistleblowers from retaliation. Most states have either a statutory or common law "whistleblower" or anti-retaliation law. Some states have explicit statutory protections for whistleblowers, including: California, Connecticut, Delaware, Florida, Hawaii, Louisiana, Maine, Michigan, Minnesota, Montana, New Hampshire, New Jersey, New York, North Carolina, Ohio, Oregon, Rhode Island, Tennessee, and Washington.

States have also recognized public policy anti-retaliation laws, including: Alaska, Arizona, Arkansas, California, Colorado, Connecticut, Florida, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Jersey, New Mexico, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, Tennessee, Texas, Vermont, Virginia, Washington, West Virginia, Wisconsin, and Wyoming.

Many of these state laws provide greater protection to employees than that provided under Sarbanes-Oxley. Most apply to both public and private companies, and protect employees who report violations of public policy – not just violations of federal law. In addition, many state laws apply to not only complaints made to public law enforcement officials, but also internal complaints and allegations.

What should schools do?

Schools should take proactive measures to protect themselves. The establishment of an audit committee and a whistleblower policy, which public companies are required to establish, can go a long way towards avoiding whistleblower claims and minimizing liability when such claims are filed. Although there is no explicit requirement for private or non-profit companies to adopt a policy or establish an audit committee, these are the best measures a school can and should take in order to protect itself.

Elements of a good whistleblower policy:

The whistleblower policy should confirm the school's open door philosophy and require employees to report violations or suspected violations of any federal, state, or local law, rule, regulation, code of ethics (if the school has one), or a clear mandate of public policy to his or her supervisor, the Head of School, or the Audit Committee. Although such a policy goes beyond the reaches of Sarbanes-Oxley, which applies only to reports of violations of federal law made to law enforcement officers, a broadly worded policy will best protect the school from various other federal and state whistleblower laws. It is also important to identify more than one individual to whom employees can report complaints.

The policy should state that employees who report violations will be protected from retaliation based on their reports. This is the key component of any whistleblower policy, and it should be clearly worded. The retaliation provision should also encourage employees to contact the Head of School or Audit Committee immediately if they believe they have been subject to retaliation. The policy should also encourage employees who have reported suspected violations to alert the employer if violations resurface or continue following the employer's investigation and response to the initial report.

In order to encourage individuals to come forward, the policy should state that reports can be made on a confidential or anonymous basis. However, the policy should also clarify that reports will be kept confidential only to the extent possible and that identity may have to be disclosed to conduct a thorough investigation, to comply with the law, and/or to provide the school and/or accused individual their legal rights of defense.

The whistleblower policy should explain that complaints will be carefully investigated, and identify the person or committee responsible for investigating complaints made under the policy.

Schools may include this policy in their employee handbooks, or distribute it as a separate policy. The benefit of a separate policy is that it highlights the importance of the whistleblower policy and allows the school to require employees to sign an acknowledgment of receipt of the policy.

Audit Committee:

Schools would be wise to create a separate audit committee that is charged with receiving and investigating whistleblower reports. An audit committee can be a subcommittee of the board. The members of the audit committee must be independent and should include at least one individual with a financial background since the audit committee may have to investigate allegations of financial or accounting misconduct. Some schools may not be large enough to create an audit committee. Even if an audit committee is not formed, the school should designate a person or people who are responsible for receiving and investigating reports.

Other protections:

Publicize the policy in writing and through training. Policies are worthless unless employees know about them. Make certain that employees understand the importance of the policy. Also make certain that those in charge of implementing the policy understand the possibility of personal criminal penalties. As with all other policies, training is imperative, especially for those employees who have the authority to terminate, demote, or reassign employees. Schools must take whistleblower reports seriously and conduct thorough investigations, and follow up with the individual who made the report. As with all other policies, effective and consistent application of the policy will best protect the school from liability.

Train experienced personnel to investigate reports of ethical or legal violations. Keep a running log of all complaints, and document all communications with the complaining employee about his or her complaint and its investigation. Obtain legal advice before taking any disciplinary action against employees who report complaints.

Provide performance reviews and regular feedback so that appropriate disciplinary action can be taken promptly if and when necessary. Document valid, non-retaliatory reasons for any disciplinary action. For example, documents showing a long history of performance problems, or violations of company policy, and the employer's history of addressing these issues before allegations arise can help save the employer from liability. The documents show that the employer would have taken the same action regardless of the employee's allegations of retaliation.

Before taking any employment action, consult your counsel. Also, remember the reasonable belief standards. Just because the alleged conduct did not occur does not mean the whistleblower is not protected.

Check your insurance coverage to determine whether officers and agents are covered under existing coverage for allegations of whistleblower violations or interference with employment violations. In some instances, you may need special employment practice liability insurance (EPLI). However, be cautious of policies that do not allow you to select your counsel and/or your limit right to decide whether to settle a claim.

WHISTLEBLOWER POLICY EXAMPLE

As with all example policies, this policy may not be appropriate for your school. Schools should work with legal counsel to ensure that all policies and procedures are appropriate for your institution. Neither NAIS nor the law firm Krupin O'Brien warrant or guarantee the appropriateness of this form for any specific school.

Reporting Violations

If any employee reasonably believes that some policy, practice, or activity of the School is in violation of a law, rule, regulation, code of ethics, or a clear mandate of public policy, the employee must report such violation to his or her supervisor, the [Head of School], or the [Board President]. Employees must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to discipline up to and including termination.

No Retaliation

The School will not retaliate against any employee who, in good faith raises a complaint, discloses, or threatens to disclose truthful information regarding some practice, policy, or activity of the School or employee of the School the employee reasonably believes violates a law, rule, regulation, or a clear mandate of public policy to: (1) a supervisor; (2) an individual with authority to investigate, discover, or terminate misconduct; or (3) a law enforcement officer or public body. The School will also not retaliate against any employee who participates in an investigation relating to some practice, policy, or activity of the School or employee of the School that is or is suspected to be in violation of a law, rule, regulation, or a clear mandate of public policy.

Retaliation includes discharge, demotion, suspension, threats, harassment, or any adverse employment action. Any whistleblower who believes he/she is being subject to retaliation as a result of whistleblowing activities must contact the [Human Resources Department] or [Head of School] immediately.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible. However, identity may have to be disclosed to conduct a thorough investigation, to comply with the law, and to provide the School and/or accused individuals their legal rights of defense.

Investigation

The audit committee of the board of trustees is responsible for investigating and resolving all internal complaints and allegations of financial or accounting impropriety made under this policy. All other complaints will be investigated by the [Head of School].

() *My signature below indicates my receipt and understanding of this policy. I also verify that I have been provided with an opportunity to ask questions about the policy.*

Employee Signature

Date

¹ 18 U.S.C. § 1514A

² 18 U.S.C. § 1513(e)

BENEFITS

By Patrick F. Bassett, NAIS President

Since the customers of independent schools routinely cite "exceptional teachers" as the driving force behind their selection of our schools, it is wise for our schools to treat their teachers as a "precious resource." Schools and their boards often contemplate the range of possible compensation packages appropriate for their faculties and staffs. Several "rules of thumb" are worth noting as these considerations occur:

Rules of Thumb

▪ *Rule #1: Middle Class Dignity*

One rule of thumb should be that salary and benefits should, at the minimum, provide to the faculty and staff the opportunity to live a life of "middle class dignity." It is worth noting that most college graduates with no experience start their first year of work (in other fields) at salaries in the \$30,000 range: and that the category of "middle class" probably begins at a family income level starting with \$50,000 as a floor (i.e., \$50,000 - \$75,000 typically is considered the range of middle class family income).

▪ *Rule #2: Your Competition Wants Your Teachers*

A second rule of thumb is that independent schools should aim to achieve (over the course of a long-range plan) parity with public school salaries so that their own teachers are not forced to consider moving into the public school domain, strictly for reasons of family economics. The most ambitious independent schools target their salaries to be at or above the local public school salaries at a goal, with 90% of parity a benchmark. Particularly when your school cannot afford competitive base salaries, look to other benefits options that will make your school's package more appealing than the public school salary package.

▪ *Rule #3: Provide Benefits Equitably Across Faculty and Staff*

A third rule of thumb would be to make every attempt to keep support staff benefits equitable: it is a scandalous truth in many of our schools that the staff's compensation and benefits are woefully behind that of the faculty, causing considerable morale problems with the former group of employees.

It makes sense to seek equity using the principle of proportionality: base pension contributions on a percentage of salary. For example, a school contributes 5% of salary to pension fund. This amount will be different among the employees, but the percentage is the same. Another good example involves non-vacation days available to staff such as paid "sick days" or paid "parental leave days" in proportion to the months worked per year (e.g., 1/2 day or 1 day of paid leave for every month worked, so faculty would receive 10 days of paid leave over 10 months and staff 12 days over 12 months).¹

-
- ¹ Many schools allow faculty and staff to take 2 or 3 of their paid leave days as "personal days" so that employees are not "forced" to call in sick when they have a pressing personal matter to attend to; also most schools allow unused sick days to accrue, usually to the number (90-120) to cover an ill employee at full salary before long-term disability coverage kicks in.

■ *Rule #4: Include Faculty and Staff Representation in Benefits Discussions*

A fourth rule of thumb would be to include faculty and staff representation at the board committee level as these issues are discussed: it is useful to poll employees to determine which benefits are most important to them. NAIS would venture from informal polling that the top three benefits that school employees value are health insurance, tuition remission, and portable pension fund such as TIAA/CREF, in differing orders of priority given the differing stages of one's career. Including those individuals most affected by these decisions in the decision-making process will curtail a lot of angst later on, and ensure that the faculty and staff have a certain amount of "buy-in" to any changes made.

■ *Rule #5: Don't Skimp on Your Benefits Budget*

Many schools budget benefits for an amount equal to 20-22% of the total salaries budget. Although schools of various sizes and shapes will differ in terms of their overall budgeting, the message is clear: Schools should benchmark their benefits budgets and not skimp in this area. Typical benefits (and percentage of salaries) include FICA (7.65%), health insurance (5-6%), TIAA/CREF pension (5-10%), workmen's comp & disability insurance (1-2%). The representative percentages here equal 20-22%.² NAIS recommends that schools really try to stretch their budgets here as benefits are great, and often tax free, additions to any salary package and can be a huge selling point to teachers who may be contemplating going elsewhere.

NAIS suggests that the minimum benefit package for a full-time employee should entail some form of health insurance (often with the employee contributing a percentage of premium), long-term disability (disability pay starting after a period of time and providing for a percentage of salary)³, life insurance at least in the amount of one year's salary, and TIAA/CREF pension (again, with employee-school matching contribution). More generous benefit plans often include full premium payments by the employer, plus education allowance, dental plan, etc.

Strategies for Benefit Plans

There are several alternative strategies for schools to consider when developing benefit plans, here are two that may be helpful to your school:

1. The school could determine a reasonable overall budget for benefits (e.g., 20-22% of salary for purposes of illustration, inclusive of FICA & Medicare) then offer whatever combination of benefits is available to purchase within that budget by priority. In consultation with the faculty and staff, the school would consider what the priorities might be: higher medical deductible and co-payments so that dental could be included, or no dental and lower deductible, or higher contribution to pension and lower to medical, etc.

² Tuition remission is often considered under financial aid.

³ NAIS recommends that the school gross up salaries by the cost of the long-term disability premium then deduct the payment for the premium so that the disability payout benefit is untaxed. Under this method a 66.6% payout approximates take home pay before the disability.

2. The school could determine a reasonable level of benefits (20-22% of salary, again, for purposes of illustration) and offer a carve-out Section 125 cafeteria plan to its employees: under this scheme, the employee "purchases" with his or her own benefit dollars whatever benefits he or she desires and needs. This plan has the advantage of empowering employees to make prudent and economical benefit decisions for themselves and saving resources of the school by sticking to the percentage of salary formula. Were NAIS to write this plan, however, we would allow an employee not to opt for health coverage only upon verification annually of health and disability insurance coverage from another source.

There are new plans that would allow this money to roll over from year to year, as opposed to the spend-it-or-lose-it provisions of flexible spending plans. These plans are called Health Reimbursement Arrangements, or HRAs. These types of plans are relatively new and subject very recent IRS guidance. Schools interested in pursuing these kinds of plans are encouraged to contact counsel for more information.

Standard Benefits Plans

1. *Health insurance benefits:* schools most often offer an indemnity plan (reimbursing medical costs) or a managed care plan (e.g., Health Maintenance Organization—HMO— or Preferred Provider Organization—PPO) or both, giving each employee a choice of plans. Typical coverage for indemnity plans includes a \$250 deductible (\$500 maximum for a family), 90% coverage for services provided within an HMO/PPO or 70-80% coverage for services outside of the HMO/PPO, with a maximum of \$1000 out of pocket costs. There is usually a lifetime limit on nervous and mental health payouts. Often a "wellness" benefit (no or low cost physicals, mammograms, etc.) is included, as well as dental and vision programs. The HMO/PPO plans, as incentives for employees to move to more economical managed care options, offer higher levels of benefits, lower deductibles, and low or no cost physician's visits and prescription cards, all within network (most with the option to also go outside of the HMO/PPO network, but at a significantly higher co-payment, typically 30%).
2. *Self-insuring:* Schools often self-insure for unemployment and short-term disability, since claims for either condition tend to be rare. Some schools are now "funding" their self-insured programs (e.g., putting \$5000/year into a reserve account for these contingencies). Other schools fund claims as they occur (or "cover" for the absent employee until the waiting period is over and a substitute employee can be hired). Schools with more generous maternity leave programs (e.g., 3-months after which long-term disability kicks in, if needed) are more likely to need and use their self-funded reserves.
3. *Vacations:* Typical is one-month for top administrators and a sliding scale for other staff members: 2 weeks after one year, 3 weeks after three to five years, 4 weeks after five to ten years of service.

Off-budget Benefits

ISM (www.ism.com) recommends that schools and their boards consider embellishing their benefit plans by some creative, low-cost benefits that could demonstrate regularly to faculty and staff the appreciation felt for their services (see *To the Point*, Vol.3, No. 7, Sept. 30, 1997, published by ISM). Such benefits could include the following:

- Pro bono or discounted services from school constituents (board members, parents, alumni) such as free wills from attorneys, financial consulting seminar for faculty groups, 10% discounts from area merchants.
- Free flu shots, heart and cholesterol checks
- Corporate rates at the local health club for faculty members.
- School store discounts at cost.
- Parents Association luncheons for the faculty.
- Holiday faculty lottery of constituent gifts (theatre and sports tickets, weekend away at resort homes, etc.)
- EAP program (employee assistance program) for counseling services.

Teachers and staff give so much for the kids in our schools: we should be more deliberate in letting them experience our gratitude.

N.B. This article is intended for general educational use only. It is not and should not be relied upon as specific legal or other professional advice. Schools are encouraged to work with appropriate professionals when building benefits plans.

Source: www.nais.org • Reprinted with permission from ISACS (www.isacs.org)
Modified by NAIS March 2003

Compensation Models for 21st. C. Schools

Patrick F. Bassett, NAIS President

2/12/2001

Elements

Features:

Start:

Median:

Top:

Effectiveness &/or

Potential To...

Attract All-stars

Retain the best

Reward excellence

Improve collegiality

Move school forward

Attributes:

Seen by faculty as...

Seen by board as...

Rewards

Salary Pool

#Fac@ Low 1/3 scale

#Fac@Middle 1/3

#Fac@ High 1/3

Avg Salary Low 1/3

Avg Mid 1/3

Avg High 1/3

\$ Allocated Low 1/3

\$ Allocated Mid 1/3

\$ Allocated High 1/3

Total Fac Salary Pool

Performance Indicators

#Top Quad: HP/GA

#2nd Quad:LP/GA

Pay Scale (Current Model)

rigid, unresponsive, mixed
verdict on fairness

Next Yr. Actual or Projected:

\$27,500

\$35,000

\$55,000

Scale

Mixed

No

No

No

No

Scale

fair

ineffective

longevity

10

20

10

\$27,500

\$35,000

\$50,000

\$275,000

\$700,000

\$500,000

\$1,475,000

30

3

#3rd Quad:HP/ANI	4
#4th Quad:LP/ANI	3

<u>Related Data</u>	
Student:Fac Ratio	9.0
Average Tuition	\$13,500
Benefit:Salary %:	21%
Enrollment	400
Differential Increase in Costs:	
(Gross Sal Inc + Benefits)	
Increase Cost/student: Tuition Model	
Increase Cost/Student: Class Size Model	
Increase Cost Endowment Growth Model	
X Factors/Climate Benefits:	

Note: To Customize for One's School, Simply Plug in your School's Data

Rank System
(3 ranks/salaries)

simple, fair, forces
tough evals; COLs

\$33,000

\$45,000

\$60,000

Ranks

Yes

Yes

No

Yes

No

Ranks

professional

compatible

ability

& experience

10

20

10

\$33,000

\$45,000

\$60,000

\$330,000

\$900,000

\$600,000

\$1,830,000

Determined by 360 degree assessment of all employees by admin team

(High performance/good attitude)

(Low to satisfactory performance/good attitude)

(High performance/attitude needs improvement)
(Low performance/attitude needs improvement)

1.0

\$429,550

\$1,074

-\$276

\$8,591,000

Housing, tuition remission, security/relief for senior faculty; flexibility; etc.

**Broadband System
(3 ranges/bands)**

(bonus on top of salary)

Pay for Performance System

flexible for head &
faculty; allows rewards

rewards exceptional contribution;
may incentivize/capitalize projects

\$30,000	\$36,000	\$2,500	(bonus)
\$32,500	\$50,000	\$5,000	(bonus)
\$45,000	\$65,000	\$7,500	(bonus)

Bands

Bonus

Yes	No
Yes	Yes
Yes	Yes
No	No
No	Yes

Bands

Bonus

flexible	potentially positive or negative
appropriate	marketplace sensitive
performance	performance
& experience	

10	10
20	20
10	10

\$33,000	Add to Comp Plan:	\$5,000 Avg. Bonus *
\$41,250		30 # Top Quad
\$55,000		\$150,000 Discretionary Pool
\$330,000		
\$825,000		
\$550,000		
\$1,705,000		\$1,625,000

\$278,300

\$696

-\$654

\$5,566,000

\$181,500

\$454

-\$896

\$3,630,000 Assume 5% Spend



NATIONAL
ASSOCIATION OF
INDEPENDENT
SCHOOLS

NAIS PRINCIPLES OF GOOD PRACTICE

www.nais.org/go/pgp

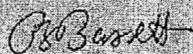
Dear Colleagues:

The *NAIS Principles of Good Practice* for member schools define high standards and ethical behavior in key areas of independent school operations. The impetus for creating and publishing the principles can be found in the NAIS mission statement, which commits the association to articulating and promoting high standards of educational quality and ethical behavior for its membership. Each set of principles is drafted by an NAIS committee of practitioners in that professional area, submitted to the NAIS board of trustees for approval, then distributed to every member school. The collected principles reflect the overall dedication to quality education that has always characterized independent schools.

NAIS endorses in principle and follows in practice the Code of Ethics recommended by Independent Sector. We not only publish and promote *Principles of Good Practice* for independent schools but also adopt them as our own guiding principles.

NAIS member schools can distribute individual principles within their school communities. We also offer the printed booklet to purchase in bulk. It is our hope that the increased visibility of and easy access to the principles will go a long way in helping schools fulfill their missions.

Sincerely,



Patrick F. Bassett
NAIS President

Key Areas

Admission	1
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Individual Trustees	4
Business Officers	5
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ADMISSION

Through the recruitment and selection of students, admission officers play a critical role in their school's educational vitality and culture. The following principles of good practice are intended to provide common ground for interaction between independent school admission officers and their many constituents (parents, students, colleagues, even the general public). These principles may be read in conjunction with the NAIS Principles of Good Practice for Equity and Justice, which serve as the overarching guide to all activity in schools. The director of admission and, by extension, the head of school bear the ultimate responsibility for communicating and upholding these principles of good practice to all those professional staff and volunteers (including parents, alumni/ae, tour guides, coaches, faculty members, board members) who represent the institution in admission, promotion, recruitment, and retention activities.

1. The school seeks to ensure the appropriate match between a prospective student/family and the mission of the institution.
2. The school respects and affirms the dignity and worth of each individual in the admission process.
3. The school adheres to local, state, and federal laws and regulations that require non-discriminatory practice in the administration of admission policies.
4. The school adheres to established policies and procedures for student recruitment and enrollment.
5. The school operates under a clear set of practices for gathering, disseminating, and maintaining prospective student information, and respects the need for confidentiality.
6. The school does not initiate the transfer or recruitment of students from other independent schools.
7. The school respects the needs of students and families through the application and enrollment process and is clear about the time frame for acceptance of an enrollment offer.
8. The school shares complete information with families about their financial obligations before enrollment.
9. School representatives apply the same standards of integrity whether talking about their own school or making comparisons with other institutions.
10. The school recognizes the right of currently enrolled students to consider other educational options and provides appropriate support in that process.

Revised and approved by the NAIS board in 2004. This PGP is being revised currently, and a new version will be published at www.nais.org/go/pgp in 2007.

ATHLETICS

Interscholastic athletics can play an important role in the lives of children. The school's athletic program can be an essential part of the education of students, fostering the development of character, life skills, sportsmanship, and teamwork.

1. The school's athletic program embodies the mission, philosophy, and objectives of the school.
2. The school ensures that coaches have appropriate training and knowledge of the school's mission, philosophy, and objectives.
3. The school promotes equity in all aspects of its athletic programs.
4. The school's athletic program is considered to be an integral part of the school's curriculum.
5. The school is committed to the safety and physical and emotional health of participants in the athletic program.
6. The school's athletic program values the dignity and worth of the individual in a context of common purpose and collective achievement.
7. Coaching is teaching; coaches are teachers.
8. The school ensures that coaches have an understanding of the developmental needs of the children with whom they work.
9. Coaches design and implement activities that improve the knowledge and skills of all participants.
10. Coaches have a strong collegial relationship with other educators and contribute to the school's understanding of the whole child.
11. The school educates parents about the philosophy, policies, and appropriate expectations of the athletic program.
12. The school defines and clearly communicates standards of conduct to players, spectators, coaches, and other teams.
13. The school works directly and candidly with other schools to prevent abuses in the following areas: recruitment, eligibility, transfer of student athletes, financial aid, and admission.

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BOARD OF TRUSTEES

The board is the guardian of the school's mission. It is the board's responsibility to ensure that the mission is relevant and vital to the community it serves and to monitor the success of the school in fulfilling its mission. The following principles of good practice are set forth to provide a common perspective on the responsibilities of independent school boards. The board and the head work in partnership to fulfill these principles.

1. The board adopts a clear statement of the school's mission, vision, and strategic goals and establishes policies and plans consistent with this statement.
2. The board reviews and maintains appropriate bylaws that conform to legal requirements, including duties of loyalty, obedience, and care.
3. The board assures that the school and the board operate in compliance with applicable laws and regulations, minimizing exposure to legal action. The board creates a conflict of interest policy that is reviewed with, and signed by, individual trustees annually.
4. The board accepts accountability for both the financial stability and the financial future of the institution, engaging in strategic financial planning, assuming primary responsibility for the preservation of capital assets and endowments, overseeing operating budgets, and participating actively in fund raising.
5. The board selects, supports, nurtures, evaluates, and sets appropriate compensation for the head of school.
6. The board recognizes that its primary work and focus are long-range and strategic.
7. The board undertakes formal strategic planning on a periodic basis, sets annual goals related to the plan, and conducts annual written evaluations for the school, the head of school, and the board itself.
8. The board keeps full and accurate records of its meetings, committees, and policies and communicates its decisions widely, while keeping its deliberations confidential.
9. Board composition reflects the strategic expertise, resources, and perspectives (past, present, future) needed to achieve the mission and strategic objectives of the school.
10. The board works to ensure all its members are actively involved in the work of the board and its committees.
11. As leader of the school community, the board engages proactively with the head of school in cultivating and maintaining good relations with school constituents as well as the broader community and exhibits best practices relevant to equity and justice.
12. The board is committed to a program of professional development that includes annual new trustee orientation, ongoing trustee education and evaluation, and board leadership succession planning.

Revised and approved by the NAIS board in 2003

INDIVIDUAL TRUSTEES

The following principles of good practice are set forth to provide a common perspective on the responsibilities of individual members of independent school boards.

1. A trustee actively supports and promotes the school's mission, vision, strategic goals, and policy positions.
2. A trustee is knowledgeable about the school's mission and goals, including its commitment to equity and justice, and represents them appropriately and accurately within the community.
3. A trustee stays fully informed about current operations and issues by attending meetings regularly, coming to meetings well prepared, and participating fully in all matters.
4. The board sets policy and focuses on long-range and strategic issues. An individual trustee does not become involved directly in specific management, personnel, or curricular issues.
5. The trustee takes care to separate the interests of the school from the specific needs of a particular child or constituency.
6. A trustee accepts and supports board decisions. Once a decision has been made, the board speaks as one voice.
7. A trustee keeps all board deliberations confidential.
8. A trustee guards against conflict of interest, whether personal or business related.
9. A trustee has the responsibility to support the school and its head and to demonstrate that support within the community.
10. Authority is vested in the board as a whole. A trustee who learns of an issue of importance to the school has the obligation to bring it to the head of school, or to the board chair, and must refrain from responding to the situation individually.
11. A trustee contributes to the development program of the school, including strategic planning for development, financial support, and active involvement in annual and capital giving.
12. Each trustee, not just the treasurer and finance committee, has fiduciary responsibility to the school for sound financial management.

Revised and approved by the NAIS board in 2003



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BUSINESS OFFICERS

Although responsibilities of business officers are as varied as the institutions they serve, the following principles provide a common standard of leadership and good practice for individuals vested with the responsibilities of the school's financial and physical resources.

1. The business officer understands and promotes the mission, standards, and policies of the school, and provides leadership as these evolve and when they are evaluated.
2. The business officer reports to the head of school and works strategically with the head of school and the board of trustees to ensure the development and implementation of appropriate policies for the long-term management of the school.
3. The business officer provides important assistance to the head in administering the school and to the board in meeting its fiduciary responsibilities through attendance at meetings, informative disclosure, and other educational means.
4. The business officer manages the school's resources in a prudent manner, consistent with the mission, safeguarding the value of those assets for the use of future generations of students by establishing appropriate financial controls and procedures.
5. The business officer maintains and fosters high ethical standards, integrity, and respect for colleagues, alumni/ae, parents, and students in the conduct of the school's business.
6. The business officer respects and maintains confidentiality and rights to privacy applicable to individuals and institutional records.
7. The business officer ensures that the human resource policies and practices are clearly articulated, consistently applied, and conform to legal requirements.
8. The business officer fosters professional standards and development by participating in local, regional, and national associations that offer personal support and professional assistance and development.

Revised and approved by the NAIS board in 2003

EDUCATORS (MIDDLE SCHOOL)

Recognizing that middle school students experience a variety of significant changes, middle school educators respond to and provide for the unique developmental needs and characteristics of their students.

1. Middle school educators affirm the dignity of each individual and promote equity and justice.
2. Middle school educators and all personnel who interact with middle school students have a thorough understanding of the patterns of physical, intellectual, social, and emotional growth of their students.
3. Middle school educators actively engage parents as partners in recognizing the implications of the significant changes affecting middle school children.
4. Middle school educators work to ensure a smooth transition experience for students and parents entering and leaving the middle school years.
5. Middle school educators provide programs that support each student's need to develop a distinct self-concept and to be recognized as an individual and as a member of a group.
6. Middle school educators create an environment that fosters respect, understanding, and acceptance of differences.
7. Middle school educators help students learn to make responsible choices and understand the consequences of their actions.
8. Middle school educators create opportunities for students to develop a sense of belonging to and responsibility for the multiple communities in which they participate.

Revised and approved by the NAIS board in 1993

EDUCATORS (SECONDARY SCHOOL)

Secondary school educators are committed to helping their students move from adolescence to young adulthood.

1. Secondary school educators help students to become passionate, serious scholars capable of effective communication, sustained work, independent thought, meaningful collaboration, and original expression.
2. Secondary school educators use their training and knowledge of their disciplines to design programs appropriate to the developmental characteristics of this age.
3. Secondary school educators employ a range of teaching and assessment strategies that invite students to learn and to demonstrate their learning in a variety of ways.
4. Secondary school educators teach to the learning styles, abilities, and life experiences of their students.
5. Secondary school educators develop and sustain relationships with colleagues that benefit their students and further their own professional growth.
6. Secondary school educators develop and sustain relationships with parents that support each student's well being and increasing autonomy.
7. Secondary school educators take responsibility for being role models.
8. Secondary school educators affirm and defend the dignity and worth of each member of the community and maintain an environment that fosters respect.
9. Secondary school educators help students take more and more responsibility for themselves and the multiple communities in which they live.
10. Secondary school educators prepare students to take advantage of subsequent opportunities for learning and to take their places as members of a democratic society and the global community.

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EQUITY AND JUSTICE

Creating and sustaining an inclusive, equitable, and just independent school community requires commitment, reflection, conscious and deliberate action, as well as constant vigilance based on the overarching principles of inclusivity, diversity, and multiculturalism. The following principles of good practice for equity and justice provide the foundation for such a community.

1. The school establishes the foundation for its commitment to equity and justice in its mission statement and strategic planning.
2. The school respects, affirms, and protects the dignity and worth of each member of the school community.
3. The school establishes, publishes, implements, and reviews policies that promote equity and justice in the life of the school.
4. The school supports the ongoing education of the board, parents, students, and all school personnel as part of the process of creating and sustaining an equitable and just community.
5. The school ensures an anti-bias environment by assessing school culture and addressing issues of equity and justice in pedagogy, assessment, curriculum, programs, admission, and hiring.
6. The school values each and every child, recognizing and teaching to varied learning styles, abilities, and life experiences.
7. The school uses inclusive, anti-bias language in written and oral communication.
8. The school complies with local, state, and federal laws and regulations that promote diversity.
9. The school provides appropriate opportunities for leadership and participation in decision making to all members of the school community.
10. The school includes all families and guardians as partners in the process of creating and sustaining an equitable and just community.
11. The school expects from its students and all members of the community an appreciation of and responsibility for the principles of equity and justice.

Revised and approved by the NAIS board in 2004

FINANCIAL AID ADMINISTRATION

Recognizing that each family bears the primary responsibility for financing a student's education costs, NAIS's Principles of Good Practice for Financial Aid Administration are designed to serve as guideposts in the development of professional policies and orderly procedures among schools. Through these principles, NAIS affirms its belief that the purpose of a financial aid program is to provide monetary assistance to those students who cannot afford the cost of attending an independent school. Furthermore, these principles reflect the standards of equity and fairness NAIS embraces and reassert NAIS's ongoing commitment to access and diversity.

1. The school adheres to local, state, and federal laws and regulations that require nondiscriminatory practice in the administration of its financial aid policies.
2. The school operates within the context of both short- and long-range financial aid budget and policy goals.
3. The school uses objective research to measure the effectiveness of its progress towards its goals, and communicates the outcomes as appropriate.
4. The school provides outreach, education, and guidance to students and families on all aspects of its financial aid process and options.
5. The school determines eligibility for admission without regard to a student's application for financial aid.
6. The school commits to providing financial aid dollars to applicants who demonstrate that their family resources are insufficient to meet all or part of the total educational costs.
7. The school continues to provide support to students as long as financial need is demonstrated.
8. The school maintains the same standards of behavior and academic performance for recipients of financial aid as it does for non-recipients.
9. The school enacts documented procedures that ensure a fair, consistent, and equitable assessment of each family's ability to contribute toward educational expenses.
10. The school makes and communicates financial aid decisions in a manner that allows families to make timely, careful, and fully informed enrollment decisions.
11. The school establishes administrative and accounting procedures that distinguish the school's need-based financial aid program from tuition assistance programs that are not based on financial need.
12. The school safeguards the confidentiality of financial aid applications, records, and decisions.
13. The school supports collaboration between the financial aid office and other offices within the school.

Revised and approved by the NAIS board in 2003



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FUND RAISING

The advancement program of the school should exemplify the best qualities of the institution and reflect the highest standards of personal and professional conduct. The following principles of good practice are addressed to those involved in the school's advancement operation, including trustees, school heads, development and alumni/ae officers and staff, volunteers, consultants, and business officers.

1. The school establishes a well-constructed development plan to guide its fund-raising activities.
2. The school is mindful and respectful of the cultural and economic diversity of constituent supporters.
3. The school accepts only gifts that support its mission, character, integrity, and independence.
4. The school understands that accepting a gift is accepting the obligation to honor the donor's intent.
5. The school advocates stewardship (preserving and growing the resources of the school), as well as nurtures, appreciates, and sustains an ongoing healthy and effective relationship with its constituents.
6. The school clearly articulates roles and responsibilities for volunteers.
7. The school safeguards its constituents' privacy and all confidential information.
8. The school encourages donors to consult with their own professional tax advisors when making charitable gifts.
9. The school complies with all provisions of the United States Tax Code that affect charitable giving.
10. The school, as appropriate, discloses to its constituents gifts received through philanthropy.
11. To ensure financial sustainability, the school makes certain that income earned from endowment is spent wisely and equitably. In doing so, the school ensures that endowments maintain their real value over the years so that future generations benefit as much or more from endowment as current and past generations.
12. The school adheres to accepted standards concerning the management and reporting of gift revenues and fund-raising expenditures, and seeks to promote the profession by sharing its data with relevant professional organizations, such as The Council for Advancement and Support of Education (CASE), Council for Aid to Education (CAE), and NAIS.

Revised by the NAIS board in June 2006

GUIDELINES FOR MERIT AWARDS/ TUITION REMISSION

NAIS reaffirms its belief that the purpose of a financial aid program is to provide monetary assistance to those students who would not be able to attend an independent school without such assistance. To fulfill that purpose, in determining a family's need for assistance, schools should use a uniform methodology such as that provided by the School and Student Service for Financial Aid program. In this way, schools can most equitably distribute need-based financial aid funds to children of qualifying families.

However, it is recognized that schools do use other forms of tuition reductions, such as merit awards and tuition remission, to encourage students to attend their institutions. Such reductions should not be considered financial aid. As a means of implementing these programs, NAIS believes that schools should not reduce the amount of money they allocate for financial aid. Such a step would limit access to independent schools. To distinguish further between financial aid and tuition reduction, the following are offered as guidelines for tuition reduction programs:

Merit Awards

Financial support for merit award programs should be obtained from sources not available for need-based financial aid. Such awards should be administered and accounted for in a manner distinct from the institution's need-based financial aid program. Recipients of merit awards may be expected to meet the standards of performance, participation, or involvement commensurate with the purpose of their awards. However, in all other areas of school life, recipients should not be held to different standards than other students.

Tuition Remission

Automatic tuition remission for children of faculty and staff should be funded, administered, and accounted for in a manner distinct from the institution's need-based financial aid program and its merit awards. Recipients of tuition remission should not be held to different standards of behavior and academic performance than other students.

Revised and approved by the NAIS board in 1992



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HEADS

The primary responsibility of the head of an independent school is to carry out the school's stated mission. While there are profoundly different ways to accomplish this goal, NAIS offers the following principles as guideposts for all heads engaged in this rewarding, complex job.

1. The head works in partnership with the board of trustees to establish and refine the school's mission; articulates the mission to all constituencies — students, faculty and staff, parents, alumni/ae, and the community; and supports the mission in working with all constituencies.
2. The head oversees the shaping of the school's program and the quality of life in the school community.
3. The head establishes an effective manner of leadership and appropriately involves members of the administration and faculty in decision-making.
4. The head is responsible for attracting, retaining, developing, and evaluating qualified faculty and staff.
5. The head is accessible, within reason, and communicates effectively with all constituencies.
6. The head is responsible for financial management, maintenance of the physical plant, strategic planning, and fund raising.
7. The head ensures that every element of school life reflects the principles of equity, justice, and the dignity of each individual.
8. The head is alert to his or her role within the broader networks of schools, school leaders, and the community.
9. The head cooperates with heads of other independent schools to ensure that the principles of good practice of all school operations, especially those of admission, marketing, faculty recruitment, and fund raising, demonstrate integrity at all levels of the school.

Revised and approved by the NAIS board in 2003

THE HIRING PROCESS

The quality of the hiring process sets the tone for a mutually satisfying relationship between the school and the candidate and communicates to the candidate the spirit and values of the community. The values that infuse these guidelines can be applied to any hiring process, whether that process involves the use of placement agencies or is fully managed by the school. NAIS encourages schools to adopt these principles and to share them with candidates.

1. The school creates a complete job description of available positions.
2. The school makes current staff aware of openings as they become available.
3. The school seeks candidates who will add to the racial, cultural, and gender diversity of the institution.
4. The hiring process includes the people who will be directly involved with the candidate in his or her new position.
5. The school discloses all information that is necessary for the candidate to make a well-informed decision.
6. The school and its representatives follow the laws that govern hiring practice.
7. The school checks references, focusing on the ability of the individual to fulfill the professional duties of the position.
8. When inviting a candidate to the school, the school explains who is to be responsible for expenses and what the visit will entail.
9. The school keeps all candidates informed about the hiring schedule and pertinent decisions.
10. When making an offer to a candidate, the school provides all relevant information, including compensation and working conditions.
11. The school affords candidates a reasonable period of time to consider an offer.
12. The school does not offer a contract to an individual already under contract at another institution for the upcoming year without first contacting the head of that institution.

The Candidate

1. The candidate discloses all information that is necessary for the school to make a well-informed decision.
2. The candidate is seriously interested in a position before accepting an invitation to visit at the school's expense.
3. The candidate responds to an offer within a reasonable period of time.
4. An individual who is under contract for the upcoming year does not apply for another position without discussing the possibility with his or her present employer.

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PARENTS WORKING WITH SCHOOLS/ SCHOOLS WORKING WITH PARENTS

Parents and independent schools work together to create and sustain effective partnerships. The following principles of good practice describe the respective roles and responsibilities of both partners.

Parents Working with Schools

1. Parents recognize that effective partnerships are characterized by clearly defined responsibilities, a shared commitment to collaboration, open lines of communication, mutual respect, and a common vision of the goals to be reached.
2. In selecting an independent school, parents seek an optimal match for the needs of the student, their own expectations, and the philosophy and programs of the school.
3. Parents are familiar with and support the school's policies and procedures.
4. Parents provide a home environment that supports the development of positive learning attitudes and habits.
5. Parents involve themselves in the life of the school.
6. Parents seek and value the school's perspective on the student.
7. When concerns arise, parents seek information directly from the school, consulting with those best able to address the concerns.
8. Parents share with the school any religious, cultural, medical, or personal information that the school may need to serve the student best.

Schools Working with Parents

1. The school recognizes that effective partnerships are characterized by clearly defined responsibilities, a shared commitment to collaboration, open lines of communication, mutual respect, and a common vision of the goals to be reached.
2. The school clearly and fully presents its philosophy, program, and practices to parents during the admission process and encourages dialogue that clarifies parental expectations and aspirations for the student.
3. The school seeks and values the parents' perspective on the student.
4. Teachers and administrators are accessible to parents and model candid and open dialogue.
5. The school keeps parents well informed through systematic reports, conferences, publications, and informal conversations.
6. The school defines clearly how it involves parents when considering major decisions that affect the school community.
7. The school offers and supports a variety of parent education opportunities.
8. The school suggests effective ways for parents to support the educational process.
9. The school actively seeks the knowledge it needs to work effectively with a diverse parent body.

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SCHOOL SEARCH COMMITTEES AND SEARCH CONSULTANTS

The following principles of good practice are designed to help search committees as they embark upon the task of selecting a school head. Each school must decide for itself whether or not it will retain a consultant to help with the search. If the school does decide to engage professional counsel, the same principles should be observed.

1. The board and search committee should devise a search process that is viewed as fair, orderly, and cost-effective by all parts of the school community.
2. The search committee should actively solicit the names of the best available candidates drawn from a broad candidate group without regard to age, race, religion, gender, or national origin unless the school has a religious mission that requires the head to have a particular religious affiliation.
3. The search committee should see pertinent materials related to any and all candidates, including applications that come from outside the consultant's regular network.
4. The search committee should recognize the sensitivity of visits by trustees to a candidate's present school. The consultant should work with the search committee and candidate to see that such visits are complete and thorough yet at no time jeopardize the relation of the candidate to his or her present school. School visits should be made only when the candidate and search committee are at a mutually serious stage.
5. The search committee should make every effort to present the school with a diverse group of candidates. All principles associated with providing equal opportunity should be observed in the process.
6. that person prior to any contracting for services.
7. The consultant should make known the names of other schools for which he or she actively is performing a search for persons to fill a similar position.
8. The consultant should limit searches during any given period to a number that will assure service of high quality to each client school.
9. The search consultant should make a reasonable effort to understand the school, its mission, its culture, and the nature of the position to be filled.
10. The school, not the individual candidate, should always be the client.
11. Both consultant and search committee should check candidates' references with great care. The consultant is responsible for presenting a candidate for consideration by the search committee and for emphasizing the committee's responsibility after that time.
12. The consultant should respect the confidentiality of each candidacy and impress upon both search committee and candidates the importance of discretion. Any candidate now a head who is seriously exploring other school headships should so inform his or her current board chair in confidence.
13. The consultant should keep the search committee fully informed about the progress of the assignment throughout the search and ensure that each candidate is informed fully and promptly about the status of his or her candidacy.
14. The consultant should refrain from inviting the head of a school placed in that position by the consultant's firm within the past five years to become a candidate for the client school.
15. No consultant or any member of the consultant's firm should be a candidate for a position in which the consultant is conducting a search.

Regarding Consultants

1. The search consultant should make every effort to present the school with a diverse group of candidates. All principles associated with providing equal opportunity should be observed in the process.
2. In outlining procedures to the search committee, the consultant should provide a full written description of services offered, including expenses and fees. In the case of a consulting firm, the search committee should be told which person in the firm will do the search and should interview

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TEACHERS AND SUPERVISORS OF TEACHERS

Entrusted with the education of children, the independent school teacher promotes the best interests of the child within the context of the school's philosophy. Those who supervise teachers are responsible for the quality of teaching and for promoting growth in those who teach. The following principles of good practice provide guidelines for teachers and for supervisors of teachers in their joint efforts to educate children.

Teacher

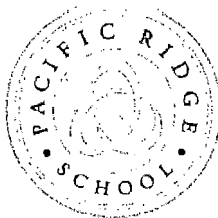
1. The teacher has a thorough knowledge appropriate for his teaching assignment and stays abreast of recent developments in the field.
2. The teacher uses a variety of teaching techniques suitable to the age and needs of the students and subject matter being taught.
3. The teacher establishes positive relationships with students, which, while recognizing the differing roles of adult and child, are characterized by mutual respect and good will.
4. The teacher collaborates with colleagues and the school's leadership in the design and implementation of curriculum within the context of the school's overall program and mission.
5. The teacher initiates growth and change in her own intellectual and professional development, seeking out conferences, courses, and other opportunities to learn.
6. The teacher is self-aware and self-monitoring in identifying and solving student, curricular, and school problems. At the same time, the teacher knows the mission and policies of the school and, when questions or concerns arise, raises them with appropriate colleagues and supervisors.
7. The teacher serves his school outside the classroom in a manner established by the individual school and consistent with the responsibilities of a professional educator. For example, teachers often serve as advisers, coaches, or activity sponsors.
8. The teacher participates in the establishment and maintenance of an atmosphere of collegial support and adherence to professional standards.
9. The teacher welcomes supervision in the context of clearly defined and well communicated criteria of evaluation.

10. The teacher models integrity, curiosity, responsibility, creativity, and respect for all persons as well as an appreciation for racial, cultural, and gender diversity.

Supervisor of Teachers

1. The supervisor has thorough knowledge appropriate to her supervisory assignment and stays abreast of recent developments in the field. The supervisor also exemplifies in her own work with faculty members the qualities that she hopes to develop in the faculty.
2. The supervisor develops and administers a comprehensive system of hiring, consistent with the policies of the school, which results in the appointment of the best-qualified candidate and a well-informed match between school and teacher. Throughout the hiring and supervisory processes, the supervisor values racial, cultural, and gender diversity.
3. The supervisor ensures that faculty members new to the school receive orientation and support sufficient for them to work effectively and with confidence that they are carrying out the educational mission, policies, and procedures of the school.
4. The supervisor ensures that teachers are informed of both praise and criticism of their work and that useful support and assistance are available to each teacher to improve the quality of teaching.
5. The supervisor makes available to all faculty members on an equitable basis whatever resources the school can provide for professional growth and development, both inside and outside the school.
6. The supervisor encourages and challenges teachers to initiate curricular improvement by providing the necessary time and resources and by creating

(Continued on following page)



Ms Pat Libby
University of San Diego
Non-Profit Management Program

December 18, 2006

Dear Ms Libby:

I had the pleasure of working with Ms Carla Silver and Ms Becky Lee on their project for the Fundamentals course. Carla and Becky undertook the daunting project of developing a draft Human Resource Policy Manual from scratch for Pacific Ridge School.

Pacific Ridge School is a start-up, private independent school expecting its first students in September 2007. As is the case with most start-up enterprises, we are very short staffed management team performing a wide range of duties. I myself, as Director of Finance, am responsible for all the financial, facility, legal, human resource and information technology functions for the school. We are about to start hiring faculty and additional staff for the school in anticipation of our fall 2007 opening. I knew we needed a policy manual, but had no idea how I was going to find the time to produce that manual. Like angels from above, Carl and Becky approached us with their proposal for a project to develop a manual.

Over the past two months, I worked with Carla and Becky and produced an excellent first draft manual. We covered all the primary and secondary topics that I requested of them in addition to providing me with additional reference material to update, edit or change the manual to policies that better fit the school environment as we grew. Carla and Becky did a prodigious amount of work on this manual.

I plan to start using much of the material in this manual immediately and to make it a live document to update as the school comes to life and generates changing demands on the human resource function.

Carla and Becky were a delight to work with and I was completely satisfied with the product that they produced, A+ for both of them.

Sincerely,

Philip D. Hitch
Director of Finance
Pacific Ridge School